

**Race to the Top – Early Learning Challenge**  
**Application for Phase 2 Funding**  
**CFDA Number: 84.412A**



## **TABLE OF CONTENTS**

<b>DEAR COLLEAGUE LETTER</b>	<b>2</b>
<b>SECTION I: APPLICATION OVERVIEW</b>	<b>4</b>
<b>SECTION II: APPLICATION SUBMISSION PROCEDURES</b>	<b>8</b>
<b>SECTION III: APPLICATION COVER SHEET, ASSURANCES, AND REQUIREMENTS</b>	<b>12</b>
<b>SECTION IV: APPLICATION</b>	<b>18</b>
<b>PART 1: STATE PLAN OVERVIEW</b>	<b>18</b>
<b>PART 2: SUMMARY TABLE FOR PHASE 2 PLAN</b>	<b>19</b>
<b>PART 3: NARRATIVE</b>	<b>21</b>
<b>PART 4: TABLES AND PERFORMANCE MEASURES</b>	<b>26</b>
<b>PART 5: BUDGET</b>	<b>44</b>
<b>PART 6: PARTICIPATING STATE AGENCY MEMORANDUM OF UNDERSTANDING</b>	<b>62</b>
<b>EXHIBIT I – PARTICIPATING STATE AGENCY SCOPE OF WORK</b>	<b>67</b>
<b>SECTION V: APPLICATION CHECKLIST</b>	<b>68</b>
<b>SECTION VI: PROGRAM REQUIREMENTS</b>	<b>70</b>
<b>SECTION VII: DEFINITIONS</b>	<b>73</b>
<b>SECTION VIII: SELECTION CRITERIA</b>	<b>79</b>
<b>SECTION IX: COMPETITION PRIORITIES</b>	<b>89</b>

## DEAR COLLEAGUE LETTER

Dear Colleague:

Last year, the U.S. Departments of Education and Health and Human Services announced the creation of the Race to the Top-Early Learning Challenge program (RTT-ELC). The program represents an unprecedented opportunity for States to focus deeply on their birth through five early learning and development systems and build a more unified approach to supporting young children and their families — one that increases access and quality and helps ensure that children enter kindergarten with the skills, knowledge, and dispositions they need to be successful.

The FY 2011 RTT-ELC competition provided incentives and supports to States that committed to deliver high-quality early learning and development programs statewide and improve outcomes for children. In December, 2011, we funded the nine highest scoring applicants: California, Delaware, Maryland, Massachusetts, Minnesota, North Carolina, Ohio, Rhode Island, and Washington. In addition to those States, we heard from other States that they would strive to implement their plans even without receiving funding. We also heard that the process of coming together to write the application would have an impact on their early learning and development programs.

This year, the Departments did not have adequate resources to fund a new RTT-ELC competition. We determined that funding the next highest-scoring applications would have the greatest impact on State early learning reforms. While we could not fund the next five States at the levels requested in their 2011 applications, we could fund at 50 percent and ask those eligible States to really focus on the activities in their applications that would have the greatest impact on children with high needs.

Thus, on April 9, 2012, we announced that \$133 million would be made available to the next five highest-scoring States from last year's competition. We released proposed requirements on June 20, 2012. Today, we are releasing the Phase 2 RTT-ELC final requirements, along with the application. We have changed none of the criteria or priorities from the FY 2011 application. The priorities and selection criteria aim to establish a comprehensive approach that better coordinates, implements, and evaluates high-quality early learning and development programs with a focus on giving families the information and support they need to encourage their child's development and learning and to select the best program for their child. Instead, this application provides requirements for how eligible applicants may scale back their FY 2011 applications to address the reduced funding level.

The RTT-ELC program seeks to challenge States to build a coordinated system of early learning and development that ensures that many more children from low-income families and disadvantaged children, from birth to age five, have access to dramatically improved early learning and development programs and are able to start kindergarten with a strong foundation for future learning.

We were pleased by the interest and commitment demonstrated in the FY 2011 applications, and even more pleased to hear that last year's competition was helpful to States that participated. We look forward to continuing our national conversation around improving State systems of early

learning. We hope this program will continue to align all stakeholders around the best interests of children, and ultimately, ensure that our youth are ready to compete in the global economy of the 21st century.

Sincerely,

/s/

Jacqueline Jones  
Deputy Assistant Secretary for Early  
Learning and Policy  
Office of Elementary and Secondary Education  
U.S. Department of Education

/s/

Linda K. Smith  
Deputy Assistant Secretary for  
Early Childhood Development  
Administration for Children and Families  
U.S. Department of Health and  
Human Services

## **SECTION I: APPLICATION OVERVIEW**

### **Introduction**

The purpose of the Race to the Top-Early Learning Challenge (RTT-ELC) program is to improve the quality of early learning and development and close the achievement gap for children with high needs. This program focuses on improving early learning and development for young children by supporting States' efforts to increase the number and percentage of low-income and disadvantaged children, in each age group of infants, toddlers, and preschoolers, who are enrolled in high-quality early learning and development programs; and to design and implement an integrated system of high-quality early learning and development programs and services.

The FY 2011 RTT-ELC competition identified five key reform areas representing the foundation of an effective early learning and development reform agenda that is focused on school readiness and ongoing educational success. These areas, which provided a framework for the competition's priorities, requirements, and selection criteria, are:

- (A) Successful State Systems;
- (B) High-Quality, Accountable Programs;
- (C) Promoting Early Learning and Development Outcomes for Children;
- (D) A Great Early Childhood Education Workforce; and
- (E) Measuring Outcomes and Progress.

The first two of these reform areas, (A) and (B), are core areas of focus for this program (hereafter "Core Areas"), and applicants under the FY 2011 RTT-ELC competition were required to respond to all selection criteria under these Core Areas. The reform areas in (C), (D), and (E) are areas (hereafter "Focused Investment Areas") where applicants directed targeted attention to specific activities that were relevant to their State's context. Applicants were required to address each Focused Investment Area but not all of the selection criteria under them.

In December 2011, the Departments made awards to the nine highest scoring applications from the FY 2011 RTT-ELC competition: California, Delaware, Maryland, Massachusetts, Minnesota, North Carolina, Ohio, Rhode Island, and Washington.

On December 23, 2011, the President signed into law Public Law 112-74, the Consolidated Appropriations Act, 2012, which made \$550 million available for the Race to the Top Fund. This legislation authorized the Secretary of Education to make Race to the Top Fund awards on "the basis of previously submitted applications." The Department of Education must obligate these funds by December 31, 2012.

On April 9, 2012, the Departments announced that approximately \$133 million of the \$550 million appropriated for the Race to the Top Fund would be made available to the next five highest scoring applicants from the FY 2011 RTT-ELC competition. These five applicants, each of which received approximately 75 percent or more of the available points under the competition, are Colorado, Illinois, New Mexico, Oregon, and Wisconsin. These States are referred to as "eligible applicants" for Phase 2 of

the RTT-ELC program, under which the Departments will fund down the slate of applications from the FY 2011 RTT-ELC competition.

While \$133 million can support only a selection of the activities in the plans submitted by these States in the FY 2011 RTT-ELC competition, the Secretaries believe that supporting with FY 2012 funding high-scoring applicants that did not receive funding under the FY 2011 RTT-ELC competition will help build on the momentum from the FY 2011 RTT-ELC competition and engage more States in transforming the patchwork of disconnected early childhood programs into a coordinated and high-quality system. Therefore, we will make FY 2012 funds available to the eligible applicants at up to 50 percent of the amount each requested in its application under the FY 2011 RTT-ELC competition.

### **Application, Program and Budget Requirements**

To receive a Phase 2 RTT-ELC award, an eligible applicant must submit—

- (a) An application, consistent with its FY 2011 RTT-ELC application, that--
  - (1) Meets the application requirements described in the Application Requirements section of the Notice Inviting Applications, which are included below; and
  - (2) Provides the assurances described in the Application Assurances section of the Notice Inviting Applications, which are included in this application package on page 14; and
- (b) For review and approval by both Departments, a detailed plan and budget describing the activities selected from its FY 2011 RTT-ELC application that would be implemented with Phase 2 RTT-ELC funding, in accordance with the Budget Requirements section in the Notice Inviting Applications, which are included in this application package on page 44.

Note: We encourage eligible applicants to partner with each other and currently funded RTT-ELC grantees in carrying out specific activities (such as validation of a State's Tiered Quality Rating and Improvement System (TQRIS), implementation of longitudinal data systems, or development of a kindergarten entry assessment). Each eligible applicant may apply for Phase 2 RTT-ELC awards individually or as a member of a consortium (with other eligible applicants) under 34 CFR 75.127-129. A consortium can be formed only with other eligible applicants and requires a single application. A partnership can be described in the application of an individual State or a consortium and can include eligible applicants as well as currently-funded grantees. In any event, an eligible applicant must propose activities for Phase 2 of the RTT-ELC program that are consistent with its FY 2011 RTT-ELC application.

Eligibility Requirements: Eligible applicants for Phase 2 RTT-ELC awards are those States that applied for funding under the FY 2011 RTT-ELC competition and received approximately 75 percent or more of the available points but that did not receive grant awards under that competition. Therefore, only the States of Colorado, Illinois, New Mexico, Oregon, and Wisconsin are eligible to apply for Phase 2 RTT-ELC awards.

Application Requirements: Eligible applicants must meet the following requirements to receive Phase 2 RTT-ELC awards:

(a) Each eligible applicant must describe how it would implement an organizational structure for managing the Phase 2 RTT-ELC grant that is consistent with the activities and commitments described in response to selection criterion A(3)(a)(1) of its FY 2011 RTT-ELC application, and describe how it would implement the activities described in response to Core Area B (selection criteria one through five) of its FY 2011 RTT-ELC application using a Phase 2 RTT-ELC award. The FY 2011 RTT-ELC Core Area B criteria promote broad participation in the State's TQRIS across a range of programs, active and continuous program quality improvement, and the publication of program ratings so that families can make informed decisions about which programs can best serve the needs of their children. Specifically, in Core Area B of its FY 2011 RTT-ELC application, each applicant had to demonstrate that it had developed and adopted, or had a high-quality plan to develop and adopt, a TQRIS. In addition, each eligible applicant must also implement the activities it proposed under Competitive Preference Priority 2, including all early learning and development programs in the TQRIS.

(b) In addition to addressing the requirements in paragraph (a) of this section, each eligible applicant must select and describe how it will implement activities that it identified in its FY 2011 RTT-ELC application in response to Focused Investment Areas C, D, or E. The eligible applicant must select activities from two or more of the three Focused Investment Areas C, D, and E, and the activities must be responsive to one or more of the selection criteria under the Focused Investment Areas chosen by the applicant. (Eligible applicants may implement additional activities proposed under more than one selection criterion within each Focused Investment Area.) In determining which selection criteria to address given the amount of available funds under Phase 2 of the RTT-ELC program, each eligible applicant must give consideration to those activities that will have the greatest impact on improving access to high-quality early learning programs for children with high needs.

Note: In light of the reduced funding available, applicants may make adjustments in the scope of services provided to meet selection criteria in Core Area A(3)(a)(1), Core Area B, Competitive Preference Priority 2, and Focused Investment Areas C, D, and E. For example, an applicant may propose to serve fewer programs or regions of the State than it proposed to serve in its FY 2011 RTT-ELC application. The eligible applicant must provide a detailed explanation of its rationale for such adjustments and also must amend its targets in Tables B(2)(c) and B(4)(c)(1-2) of the FY 2011 RTT-ELC application, as needed. The adjustments may not diminish the program's impact on improving access to high-quality early learning programs for children with high needs. In addition, if the scope of work is adjusted by targeting specific regions in the State, the activities must be consistent across regions. In making these adjustments, the Departments strongly encourage eligible applicants to consider how to use other appropriate Federal, State, private, and local resources to support their selected activities.

(c) In addition, each eligible applicant may implement the activities it proposed in response to the Invitational Priorities from its FY 2011 RTT-ELC application. Eligible applicants that wrote to Invitational Priority 2 are encouraged to enter into public-private partnerships if doing so would augment total funds available for carrying out the activities described in their FY 2011 RTT-ELC applications. Note: We encourage grantees to enter into consortia, where relevant, in order to maximize the use of available funds. Please refer to section (V)(b) on the Notice Inviting Applications and page 44 of this application package.

(d) The Departments will use Phase 2 RTT-ELC funding to support only those activities included in an eligible applicant's FY 2011 RTT-ELC application. Therefore, an eligible applicant must not include new activities in its Phase 2 RTT-ELC application.

(e) Each Phase 2 RTT-ELC application must include current signatures by the eligible applicant's Governor or an authorized representative signing on behalf of the Governor; an authorized representative from the eligible applicant's Lead Agency; and an authorized representative from each Participating State Agency.

(f) Each Phase 2 RTT-ELC application must include a newly-signed Memorandum of Understanding and a preliminary scope of work for each Participating State Agency.

### **Review Process**

Staff from both Departments will review the applications and conduct budget reviews. Since Phase 2 RTT-ELC is not a competition and States will be submitting applications that are consistent with the content of their FY 2011 RTT-ELC applications (which have already been peer reviewed), a review by outside experts is not necessary.

### **Technical Assistance Planning Workshops**

To assist prospective applicants in preparing an application and to respond to questions, the Departments will host a Webinar for prospective eligible applicants on September 25, 2012.

### **Frequently Asked Questions**

The Departments have prepared frequently asked questions (FAQs) in order to assist States in completing an application. These FAQs are available on the program site at: [www.ed.gov/programs/racetothetop-earlylearningchallenge/faq.html](http://www.ed.gov/programs/racetothetop-earlylearningchallenge/faq.html).



## SECTION II: Application Submission Procedures

1. Address to Request Application Package: You can obtain an application package via the Internet at the following address: [www.ed.gov/programs/racetothetop-earlylearningchallenge](http://www.ed.gov/programs/racetothetop-earlylearningchallenge). Alternatively, an applicant may obtain the application package by contacting: Deborah Spitz at [Deborah.Spitz@ed.gov](mailto:Deborah.Spitz@ed.gov) or (202) 260-3793.

Individuals with disabilities can obtain a copy of the application package in an accessible format (e.g., braille, large print, audiotape, or compact disc) by contacting Deborah Spitz (information provided above).

2. Submission Dates and Times:

Applications Available: September 20, 2012

Date of Pre-Application Meeting: September 25, 2012.

To assist eligible applicants in preparing an application and responding to questions, the Departments will host a Webinar for eligible applicants shortly after the publication of the notice inviting applications. Because only five States are eligible for these funds, information about the Webinar will be provided directly to those States.

Deadline for Transmittal of Applications: October 26, 2012

We do not consider an application that does not comply with the deadline requirements.

We will provide Congress with the names of the States that have submitted applications, as well as post the names of these States on the program's Web site. We will also post all applications submitted by the States. Therefore, please ensure that your application does not include personally identifiable information, proprietary information, or other non-public information.

Individuals with disabilities who need an accommodation or auxiliary aid in connection with the application process should contact Deborah Spitz (information provided above). If the Departments provide an accommodation or auxiliary aid to an individual with a disability in connection with the application process, the individual's application remains subject to all other requirements and limitations in this notice.

3. Intergovernmental Review: This program is subject to Executive Order 12372 and the regulations in 34 CFR part 79.

4. Funding Restrictions: We reference regulations outlining funding restrictions in the Applicable Regulations section of the notice inviting applications.

5. Data Universal Numbering System Number, Taxpayer Identification Number, Central Contractor Registry, and System for Award Management: To do business with the Departments, you must--

a. Have a Data Universal Numbering System (DUNS) number and a Taxpayer Identification Number (TIN);

b. Register both your DUNS number and TIN with the Central Contractor Registry (CCR) and, after July 24, 2012, with the System for Award Management (SAM), the Government's primary registrant database;

c. Provide your DUNS number and TIN on your application; and

d. Maintain an active CCR or SAM registration with current information while your application is under review by the Departments and, if you are awarded a grant, during the project period.

You can obtain a DUNS number from Dun and Bradstreet. A DUNS number can be created within one business day.

The CCR or SAM registration process may take five or more business days to complete. If you are currently registered with the CCR, you may not need to make any changes. However, please make certain that the TIN associated with your DUNS number is correct. Also note that you will need to update your CCR registration annually. This may take three or more business days to complete. Information about SAM is available at SAM.gov.

6. Other Submission Requirements:

Applications for grants under this competition must be submitted by mail or hand delivery. We strongly recommend the use of overnight mail. Applications postmarked on the deadline date but arriving late will not be read.

a. Application Submission Format and Deadline.

Applications for grants under this competition must be submitted in electronic format on a CD or DVD, with CD-ROM or DVD-ROM preferred. In addition, applicants must submit a signed paper original of the Application Assurances and Certification and one copy of that signed original. Autopen, copies, PDFs (Adobe Portable Document Format), and faxed copies of signature pages are not acceptable originals.

We strongly recommend the applicant to submit a CD or DVD of its application that includes the following files:

- (1) A single file that contains the body of the application, including required budget tables, that has been converted into a PDF (Portable Document) format so that the PDF is searchable. Note that a PDF created from a scanned document will not be searchable.
- (2) A single file in a PDF format that contains all of the required signature pages. The signature pages may be scanned and turned into a PDF.
- (3) Copies of the completed electronic budget spreadsheets with the required budget tables, which should be in a separate file from the body of the application.

Each of these items must be clearly labeled with the State's name and any other relevant identifying information. States must not password-protect these files.

We must receive all grant applications by 4:30:00 p.m., Washington, DC time, on the application deadline date. We will not accept an application for this competition after 4:30:00 p.m., Washington, DC time, on the application deadline date. Therefore, we strongly recommend that applicants arrange for mailing or hand delivery of their application in advance of the application deadline date.

b. Submission of Applications by Mail. States choosing to submit their application (*i.e.*, the CD or DVD, the signed paper original of the Application Assurances and Certifications, and the copy of that original) by mail (either through the U.S. Postal Service or a commercial carrier) must mail the original and two copies of the application, on or before the application deadline date, to the following mailing address:

U.S. Department of Education  
Application Control Center  
Attention: (CFDA Number 84.412A)  
LBJ Basement Level 1  
400 Maryland Avenue, SW.  
Washington, DC 20202-4260

c. Submission of Applications by Hand Delivery.

States choosing to submit their application (*i.e.*, the CD or DVD, the signed paper original of section IV of the application, and the copy of that original) by hand delivery (including via a courier service) must deliver the original and two copies of the application, on or before the application deadline date, to the following address:

U.S. Department of Education  
Application Control Center  
Attention: (CFDA Number 84.412A)  
550 12th Street, SW.  
Room 7041, Potomac Center Plaza  
Washington, DC 20202-4260

The Application Control Center accepts hand deliveries daily between 8:00 a.m. and 4:30:00 p.m., Washington, DC time, except Saturdays, Sundays, and Federal holidays.

**If we receive an application after the application deadline of October 26, 2012, we will not consider that application.**

d. Envelope requirements and receipt: When an applicant submits its application, whether by mail or hand delivery--

(1) It must indicate on the envelope that the CFDA number of the competition under which it is submitting its application is 84.412A; and

(2) The Application Control Center will mail to the applicant a notification of receipt of the grant application. If the applicant does not receive this notification, it should call the Application Control Center at (202) 245-6288.

In accordance with 34 CFR 75.216(b) and (c), an application will not be evaluated for funding if the applicant does not comply with all of the procedural rules that govern the submission of the application or the application does not contain the information required under the program.

**SECTION III: APPLICATION COVER SHEET, ASSURANCES, AND REQUIREMENTS**  
**APPLICATION COVER SHEET (CFDA No. 84.412A)**

Legal Name of Applicant (Office of the Governor):	Applicant's Mailing Address:	
Employer Identification Number:	Organizational DUNS:	
Lead Agency:  Contact Name:  <i>(Single point of contact for communication)</i>	Lead Agency Contact Phone:  Lead Agency Contact Email Address:	
<p>Required Applicant Signatures <i>(Must include signatures from an authorized representative of each Participating State Agency. Insert additional signature blocks as needed below. To simplify the process, signatories may sign on separate Application Assurance forms.):</i></p> <p>To the best of my knowledge and belief, all of the information and data in this application are true and correct.</p> <p>I further certify that I have read the application, am fully committed to it, and will support its implementation:</p>		
Governor or Authorized Representative of the Governor (Printed Name):	Telephone:	
Signature of Governor or Authorized Representative of the Governor:	Date:	
Lead Agency Authorized Representative (Printed Name):	Agency Name:	
Signature of Lead Agency Authorized Representative:	Date:	
Participating State Agency Authorized Representative (Printed Name):	Agency Name:	

Signature of Participating State Agency Authorized Representative:	Date:
Participating State Agency Authorized Representative (Printed Name):	Agency Name:
Signature of Participating State Agency Authorized Representative:	Date:
Participating State Agency Authorized Representative (Printed Name):	Agency Name:
Signature of Participating State Agency Authorized Representative:	Date:
Participating State Agency Authorized Representative (Printed Name):	Agency Name:
Signature of Participating State Agency Authorized Representative:	Date:

**APPLICATION ASSURANCES  
(CFDA No. 84.412A)**

- a) While the State may make appropriate adjustments to the scope, budget, timelines, and performance targets, consistent with the reduced amount of funding that is available under Phase 2 RTT-ELC, the State will maintain consistency with the absolute priority and meet all program and eligibility requirements of the FY 2011 RTT-ELC competition.
- b) The State must update tables 1-5 from section (A)(1) of its FY 2011 application. In addition, if the State has made any significant changes to the commitments, financial investments, numbers of children served, legislation, policies, practices, or other key areas of the program described in section (A)(1) of its FY 2011 application, it must submit an explanation of those changes, including updates to tables 6-13 from section (A)(1) as needed. The tables for this assurance are provided in Part 4 of the application.  
  
The State will maintain, in a manner consistent with its updates to tables 1-13, its commitment to and investment in high-quality, accessible early learning and development programs and services for children with high needs, as described in section (A)(1) of its FY 2011 RTT-ELC application.
- c) Subject to adjustments made because of the reduced amount of funding available under the Phase 2 RTT-ELC award process, the State will maintain its plan to establish strong participation and commitment by Participating State Agencies and other early learning and development stakeholders as described in section (A)(3) of its FY 2011 RTT-ELC application.
- d) The State will maintain its commitment to integrating and aligning resources and policies across Participating State Agencies as described in section (A)(3) of its FY 2011 RTT-ELC application.
- e) The State will comply with all of the accountability, transparency, and reporting requirements that applied to the FY 2011 RTT-ELC competition. (See the notice inviting applications for the FY 2011 RTT-ELC competition, published in the Federal Register on August 26, 2011 (76 FR 53564).)

- f) The State will comply with the requirements of any evaluation of the RTT-ELC program, or of specific activities it proposes to pursue as part of the program, conducted and supported by the Departments.

**SIGNATURE BLOCK FOR CERTIFYING OFFICIAL**

Governor or Authorized Representative of the Governor (Printed Name):	Telephone:
Signature of the Governor or Authorized Representative of the Governor :	Date:



*The State must meet the following requirements to be eligible to compete for funding under this program:*

(a) The Lead Agency must have executed with each Participating State Agency a Memorandum of Understanding (MOU) or other binding agreement that the State must attach to its application, describing the Participating State Agency's level of participation in the grant. (See Part 6 of this application.) At a minimum, the MOU or other binding agreement must include an assurance that the Participating State Agency agrees to use, to the extent applicable--

- (1) A set of statewide Early Learning and Development Standards;
- (2) A set of statewide Program Standards;
- (3) A statewide Tiered Quality Rating and Improvement System; and
- (4) A statewide Workforce Knowledge and Competency Framework and progression of credentials.

List of Participating State Agencies:

*The applicant should list below all Participating State Agencies that administer public funds related to early learning and development, including at a minimum: the agencies that administer or supervise the administration of Child Care and Development Fund (CCDF), the section 619 of part B of IDEA and part C of IDEA programs, State-funded preschool, home visiting, Title I of ESEA, the Head Start State Collaboration Grant, and the Title V Maternal and Child Care Block Grant, as well as the State Advisory Council on Early Childhood Education and Care, the State's Child Care Licensing Agency, and the State Education Agency.*

*For each Participating State Agency, the applicant should provide a cross-reference to the place within the application where the MOU or other binding agreement can be found. Insert additional rows if necessary. The Departments will determine eligibility.*

<b>Participating State Agency Name (* for Lead Agency)</b>	<b>MOU Location in Application</b>	<b>Funds/Program(s) administered by the Participating State Agency</b>

(b) The State must have an operational State Advisory Council on Early Care and Education that meets the requirements described in section 642B(b) of the Head Start Act (42 U.S.C. 9837b).

*The State certifies that it has an operational State Advisory Council that meets the above requirement. The Departments will determine eligibility.*

☐ Yes

☐ No

(c) The State must have submitted in FY 2010 an updated Maternal, Infant, and Early Childhood Home Visiting (MIECHV) State plan and FY 2011 Application for formula funding under the MIECHV program (see section 511 of Title V of the Social Security Act, as added by section 2951 of the Affordable Care Act of 2010 (P.L. 111-148)).

*The State certifies that it submitted in FY 2010 an updated MIECHV State plan and FY 2011 Application for formula funding, consistent with the above requirement. The Departments will determine eligibility.*

☐ Yes

☐ No

## SECTION IV: APPLICATION

### Part 1: State Plan Overview

- A. Provide an executive summary of the State's Phase 2 RTT-ELC plan. Please include an explanation of why the State believes the activities in its Phase 2 plan will have the greatest impact on advancing its overall statewide reform plan.

(Enter text here.)

## PART 2: Summary Table for Phase 2 Plan

Please indicate which selection criteria are addressed in the State's Phase 2 application.

	Addressed in 2011 application	Addressed in Phase 2 application
<b>Race to the Top-Early Learning Challenge</b>		
<b>A. Successful State Systems</b>		
(A)(1) Demonstrating past commitment to early learning and development.		
(A)(2) Articulating the State's rationale for its early learning and development reform agenda and goals.		
(A)(3) Aligning and coordinating work across the State		
(A)(4) Developing a budget to implement and sustain the work		
<b>B. High-Quality, Accountable Programs</b>		
(B)(1) Developing and adopting a common, statewide Tiered Quality Rating and Improvement System		
(B)(2) Promoting participation in the State's Tiered Quality Rating and Improvement System		
(B)(3) Rating and monitoring Early Learning and Development Programs		
(B)(4) Promoting access to high-quality Early Learning and Development Programs		
(B)(5) Validating the State's Tiered Quality Rating and Improvement System		
<b>C. Promoting Early Learning and Development Outcomes for Children</b>		
(C)(1) Developing and using statewide, high-quality Early Learning and Development Standards		
(C)(2) Supporting effective uses of Comprehensive Assessment Systems		
(C)(3) Identifying and addressing health, behavioral, and developmental needs		
(C)(4) Engaging and supporting families		
<b>D. A Great Early Childhood Education Workforce</b>		
(D)(1) Developing Workforce Knowledge and Competency Framework and a progression of credentials		
(D)(2) Supporting Early Childhood Educators		
<b>E. Measuring Outcomes and Progress</b>		
(E)(1) Understanding the status of children at kindergarten entry		
(E)(2) Building or enhancing an early learning data system		

<b>Race to the Top-Early Learning Challenge</b>	<b>Addressed in 2011 application</b>	<b>Addressed in Phase 2 application</b>
<b>Competitive and Invitational Priorities</b>		
Competitive Priority 2: Including all Early Learning and Development Programs in the TQRIS		
Competitive Priority 3: Understanding status of learning and development at Kindergarten Entry		
Invitational Priority 4: Sustaining Program Effects in the Early Elementary Grades		
Invitational Priority 5: Encouraging Private-Sector Support		

Application requirements:

- Applicants may not address selection criteria or priorities that were not addressed in their 2011 applications. Applicants may not propose new activities in their Phase 2 applications.
- Applicants must address criterion A(3), specifically A(3)(a)(1), and all criteria in Core Area B.
- Applicants must address selection criteria in at least two of the three Focused Investment Areas (C, D, and E). Within those areas, applicants must address at least one selection criteria but may address more.
- Applicants must address Competitive Preference Priority 2.
- Applicants may address Invitational Priorities they addressed in their 2011 applications.

### Part 3: Narrative

In the text box below, the State must list the selection criteria from its FY 2011 application the State is proposing to address in Phase 2, the page reference from the FY 2011 application where the original plan for addressing the criterion can be found, and a narrative description of the Phase 2 plan to address that criterion.

The Phase 2 plan should include, at a minimum, the goals, activities, timelines, and responsible parties for each proposed activity. A Phase 2 applicant need not resubmit evidence from its FY 2011 application. If it chooses, a Phase 2 applicant may provide updated evidence if it supports the Phase 2 activities. Any new supporting evidence the State believes will be helpful must be described and, where relevant, included in an Appendix. For attachments included in the Appendix, note in the narrative the location where the attachments can be found.

For a full description of the selection criteria, please see Section VIII.

Selection criterion	A(3)	Page references from State's FY11 application	
<b>Please explain how your State will address the activities in this criterion in its Phase 2 RTT-ELC application, and what modifications, if any, will be needed in light of the 50% funding level. Please refer to the relevant pages in the budget narrative submitted with this application.</b>			
[Enter text here]			

Selection criterion	B(1)	Page references from State's FY11 application	
<b>Please explain how your State will address the activities in this criterion in its Phase 2 RTT-ELC application, and what modifications, if any, will be needed in light of the 50% funding level. Please refer to the relevant pages in the budget narrative submitted with this application.</b>			
[Enter text here]			

Selection criterion	B(2)	Page references from State's FY11 application	
<b>Please explain how your State will address the activities in this criterion in its Phase 2 RTT-ELC application, and what modifications, if any, will be needed in light of the 50% funding level. Please refer to the relevant pages in the budget narrative submitted with this application.</b>			

[Enter text here]
-------------------

<b>Selection criterion</b>	<b>B(3)</b>	<b>Page references from State's FY11 application</b>	
<b>Please explain how your State will address the activities in this criterion in its Phase 2 RTT-ELC application, and what modifications, if any, will be needed in light of the 50% funding level. Please refer to the relevant pages in the budget narrative submitted with this application.</b>			
[Enter text here]			

<b>Selection criterion</b>	<b>B(4)</b>	<b>Page references from State's FY11 application</b>	
<b>Please explain how your State will address the activities in this criterion in its Phase 2 RTT-ELC application, and what modifications, if any, will be needed in light of the 50% funding level. Please refer to the relevant pages in the budget narrative submitted with this application.</b>			
[Enter text here]			

<b>Selection criterion</b>	<b>B(5)</b>	<b>Page references from State's FY11 application</b>	
<b>Please explain how your State will address the activities in this criterion in its Phase 2 RTT-ELC application, and what modifications, if any, will be needed in light of the 50% funding level. Please refer to the relevant pages in the budget narrative submitted with this application.</b>			
[Enter text here]			

<b>Selection criterion</b>		<b>Page references from State's FY11 application</b>	
<b>Please explain why your State has selected to address the activities in this criterion in its Phase 2 RTT-ELC application, and what modifications, if any, will be needed in light of the 50% funding level. Please refer to the relevant pages in the budget narrative submitted with this application.</b>			
[Enter text here]			

<b>Selection criterion</b>		<b>Page references from State's FY11 application</b>	
<b>Please explain why your State has selected to address the activities in this criterion in its Phase 2 RTT-ELC application, and what modifications, if any, will be needed in light of the 50% funding level. Please refer to the relevant pages in the budget narrative submitted with this application.</b>			
[Enter text here]			

<b>Selection criterion</b>		<b>Page references from State's FY11 application</b>	
<b>Please explain why your State has selected to address the activities in this criterion in its Phase 2 RTT-ELC application, and what modifications, if any, will be needed in light of the 50% funding level. Please refer to the relevant pages in the budget narrative submitted with this application.</b>			
[Enter text here]			

<b>Selection criterion</b>		<b>Page references from State's FY11 application</b>	
<b>Please explain why your State has selected to address the activities in this criterion in its Phase 2 RTT-ELC application, and what modifications, if any, will be needed in light of the 50% funding level. Please refer to the relevant pages in the budget narrative submitted with this application.</b>			
[Enter text here]			



<b>Selection criterion</b>		<b>Page references from State's FY11 application</b>	
<p><b>Please explain why your State has selected to address the activities in this criterion in its Phase 2 RTT-ELC application, and what modifications, if any, will be needed in light of the 50% funding level. Please refer to the relevant pages in the budget narrative submitted with this application.</b></p>			
<p>[Enter text here]</p>			

<b>Selection criterion</b>		<b>Page references from State's FY11 application</b>	
<p><b>Please explain why your State has selected to address the activities in this criterion in its Phase 2 RTT-ELC application, and what modifications, if any, will be needed in light of the 50% funding level. Please refer to the relevant pages in the budget narrative submitted with this application.</b></p>			
<p>[Enter text here]</p>			

<b>Selection criterion</b>		<b>Page references from State's FY11 application</b>	
<p><b>Please explain why your State has selected to address the activities in this criterion in its Phase 2 RTT-ELC application, and what modifications, if any, will be needed in light of the 50% funding level. Please refer to the relevant pages in the budget narrative submitted with this application.</b></p>			
<p>[Enter text here]</p>			

<b>Selection criterion</b>		<b>Page references from State's FY11 application</b>	
<p><b>Please explain why your State has selected to address the activities in this criterion in its Phase 2 RTT-ELC application, and what modifications, if any, will be needed in light of the 50% funding level. Please refer to the relevant pages in the budget narrative submitted with this application.</b></p>			
<p>[Enter text here]</p>			

<b>Priority</b>	#2	<b>Page references from State's FY11 application</b>	
<b>Please explain how your State will address this priority in its Phase 2 RTT-ELC application, and what modifications, if any, will be needed in light of the 50% funding level. Please refer to the relevant pages in the budget narrative submitted with this application.</b>			
[Enter text here]			

<b>Priority</b>		<b>Page references from State's FY11 application</b>	
<b>Please explain why your State has selected to address this priority in its Phase 2 RTT-ELC application, and what modifications, if any, will be needed in light of the 50% funding level. Please refer to the relevant pages in the budget narrative submitted with this application.</b>			
[Enter text here]			

<b>Priority</b>		<b>Page references from State's FY11 application</b>	
<b>Please explain why your State has selected to address this priority in its Phase 2 RTT-ELC application, and what modifications, if any, will be needed in light of the 50% funding level. Please refer to the relevant pages in the budget narrative submitted with this application.</b>			
[Enter text here]			

<b>Priority</b>		<b>Page references from State's FY11 application</b>	
<b>Please explain why your State has selected to address this priority in its Phase 2 RTT-ELC application, and what modifications, if any, will be needed in light of the 50% funding level. Please refer to the relevant pages in the budget narrative submitted with this application.</b>			
[Enter text here]			

## PART 4: Tables and Performance Measures

Tables A(1) -1 through 3 should be updated with current data. Tables 4 and 5 should be updated with FY 2012 figures. Tables 6 through 13 may be updated only where significant changes have occurred.

<b>Table (A)(1)-1: Children from Low-Income<sup>1</sup> families, by age</b>		
	<b>Number of children from Low-Income families in the State</b>	<b>Children from Low-Income families as a percentage of all children in the State</b>
<b>Infants under age 1</b>		
<b>Toddlers ages 1 through 2</b>		
<b>Preschoolers ages 3 to kindergarten entry</b>		
<b>Total number of children, birth to kindergarten entry, from low-income families</b>		
<i>[Enter text here to indicate data source and clarify or explain any of these data if needed]</i>		

<b>Table (A)(1)-2: Special populations of Children with High Needs</b>		
<i>The State should use these data to guide its thinking about where specific activities may be required to address special populations' unique needs. The State will describe such activities throughout its application.</i>		
<b>Special populations: Children who...</b>	<b>Number of children (from birth to kindergarten entry) in the State who...</b>	<b>Percentage of children (from birth to kindergarten entry) in the State who...</b>
<b>Have disabilities or developmental delays<sup>2</sup></b>		
<b>Are English learners<sup>3</sup></b>		
<b>Reside on "Indian Lands"</b>		

<sup>1</sup> Low-Income is defined as having an income of up to 200% of the Federal poverty rate.

<sup>2</sup> For purposes of this application, children with disabilities or developmental delays are defined as children birth through kindergarten entry that have an Individual Family Service Plan (IFSP) or an Individual Education Plan (IEP).

<sup>3</sup> For purposes of this application, children who are English learners are children birth through kindergarten entry who have home languages other than English.

**Table (A)(1)-2: Special populations of Children with High Needs**

*The State should use these data to guide its thinking about where specific activities may be required to address special populations' unique needs. The State will describe such activities throughout its application.*

Special populations: Children who...	Number of children (from birth to kindergarten entry) in the State who...	Percentage of children (from birth to kindergarten entry) in the State who...
Are migrant <sup>4</sup>		
Are homeless <sup>5</sup>		
Are in foster care		
Other as identified by the State Describe:		
[Enter text here to indicate data source and clarify or explain any of these data if needed.]		

**Table (A)(1)-3: Participation of Children with High Needs in different types of Early Learning and Development Programs, by age**

*Note: A grand total is not included in this table since some children participate in multiple Early Learning and Development programs.*

Type of Early Learning and Development Program	Number of Children with High Needs participating in each type of Early Learning and Development Program, by age			
	Infants under age 1	Toddlers ages 1 through 2	Preschoolers ages 3 until kindergarten entry	Total
State-funded preschool <i>Specify:</i> <i>Data Source and Year:</i>				
Early Head Start and Head Start <sup>6</sup> <i>Data Source and Year:</i>				

<sup>4</sup> For purposes of this application, children who are migrant are children birth through kindergarten entry who meet the definition of “migratory child” in ESEA section 1309(2).

<sup>5</sup> The term “homeless children” has the meaning given the term “homeless children and youths” in section 725(2) of the McKinney-Vento Homeless Assistance Act (425 U.S.C. 11434a(2)).

<sup>6</sup> Including children participating in Migrant Head Start Programs and Tribal Head Start Programs.

**Table (A)(1)-3: Participation of Children with High Needs in different types of Early Learning and Development Programs, by age**

*Note: A grand total is not included in this table since some children participate in multiple Early Learning and Development programs.*

Type of Early Learning and Development Program	Number of Children with High Needs participating in each type of Early Learning and Development Program, by age			
	Infants under age 1	Toddlers ages 1 through 2	Preschoolers ages 3 until kindergarten entry	Total
<b>Programs and services funded by IDEA Part C and Part B, section 619</b> <i>Data Source and Year:</i>				
<b>Programs funded under Title I of ESEA</b> <i>Data Source and Year:</i>				
<b>Programs receiving funds from the State's CCDF program</b> <i>Data Source and Year:</i>				
<b>Other</b> <i>Specify:</i> <i>Data Source and Year:</i>				
<b>Other</b> <i>Specify:</i> <i>Data Source and Year:</i>				
<i>Add additional rows as needed.</i> <i>[Enter text here to clarify or explain any of these data if needed.]</i>				

<b>Table (A)(1)-4: Historical data on funding for Early Learning and Development</b>						
<b>Type of investment</b>	<b>Funding for each of the Past 6 Fiscal Years</b>					
	<b>2007</b>	<b>2008</b>	<b>2009</b>	<b>2010</b>	<b>2011</b>	<b>2012</b>
<b>Supplemental State spending on Early Head Start and Head Start<sup>7</sup></b>						
<b>State-funded preschool</b> <i>Specify:</i>						
<b>State contributions to IDEA Part C</b>						
<b>State contributions for special education and related services for children with disabilities, ages 3 through kindergarten entry</b>						
<b>Total State contributions to CCDF<sup>8</sup></b>						
<b>State match to CCDF</b> <i>Exceeded/Met/Not Met (if exceeded, indicate amount by which match was exceeded)</i>						
<b>TANF spending on Early Learning and Development Programs<sup>9</sup></b>						
<b>Other State contributions</b> <i>Specify:</i>						
<b>Other State contributions</b> <i>Specify:</i>						
<b>Total State contributions:</b>						
<i>[Enter text here to indicate data source and clarify or explain any of these data, including the State's fiscal year end date. Include 2011 if data are available.]</i>						

<sup>7</sup> Including children participating in Migrant Head Start Programs and Tribal Head Start Programs.

<sup>8</sup> Total State contributions to CCDF must include Maintenance of Effort (MOE), State Match, and any State contributions exceeding State MOE or Match.

<sup>9</sup> Include TANF transfers to CCDF as well as direct TANF spending on Early Learning and Development Programs.

**Table (A)(1)-5: Historical data on the participation of Children with High Needs in Early Learning and Development Programs in the State**

*Note: A grand total is not included in this table since some children participate in multiple Early Learning and Development programs.*

Type of Early Learning and Development Program	Total number of Children with High Needs participating in each type of Early Learning and Development Program for each of the past 5 years <sup>10</sup>					
	2007	2008	2009 <sup>11</sup>	2010	2011	2012
<b>State-funded preschool</b> (annual census count; e.g., October 1 count) <i>Specify:</i>						
<b>Early Head Start and Head Start<sup>12</sup></b> (funded enrollment)						
<b>Programs and services funded by IDEA Part C and Part B, section 619</b> (annual December 1 count)						
<b>Programs funded under Title I of ESEA</b> (total number of children who receive Title I services annually, as reported in the Consolidated State Performance Report )						
<b>Programs receiving CCDF funds</b> (average monthly served)						
<b>Other</b> <i>Describe:</i>						
[Enter text here to indicate data source and clarify or explain any of these data if needed. Include 2012 if data are available. The final column of data should match that reported in Table (A)(1)-3.]						

<sup>10</sup> Include all Children with High Needs served with both Federal dollars and State supplemental dollars.

<sup>11</sup> Note to Reviewers: The number of children served reflects a mix of Federal, State, and local spending. Head Start, IDEA, and CCDF all received additional Federal funding under the 2009 American Recovery and Reinvestment Act, which may be reflected in increased numbers of children served in 2009-2011.

<sup>12</sup> Including children participating in Migrant Head Start Programs and Tribal Head Start Programs.

**Table (A)(1)-6 : Current status of the State’s Early Learning and Development Standards**

*Please place an “X” in the boxes to indicate where the State’s Early Learning and Development Standards address the different age groups by Essential Domain of School Readiness*

Essential Domains of School Readiness	Age Groups		
	Infants	Toddlers	Preschoolers
Language and literacy development			
Cognition and general knowledge (including early math and early scientific development)			
Approaches toward learning			
Physical well-being and motor development			
Social and emotional development			
<i>[Enter text to explain or clarify information as needed]</i>			

**Table (A)(1)-7: Elements of a Comprehensive Assessment System currently required within the State**

*Please place an “X” in the boxes to indicate where an element of a Comprehensive Assessment System is currently required.*

Types of programs or systems	Elements of a Comprehensive Assessment System				
	Screening Measures	Formative Assessments	Measures of Environmental Quality	Measures of the Quality of Adult-Child Interactions	Other
State-funded preschool <i>Specify:</i>					
Early Head Start and Head Start <sup>13</sup>					
Programs funded under IDEA Part C					
Programs funded under IDEA Part B, section 619					
Programs funded under Title I of ESEA					
Programs receiving CCDF funds					

<sup>13</sup> Including Migrant and Tribal Head Start located in the State.



**Table (A)(1)-7: Elements of a Comprehensive Assessment System currently required within the State**

*Please place an "X" in the boxes to indicate where an element of a Comprehensive Assessment System is currently required.*

Types of programs or systems	Elements of a Comprehensive Assessment System				
	Screening Measures	Formative Assessments	Measures of Environmental Quality	Measures of the Quality of Adult-Child Interactions	Other
<b>Current Quality Rating and Improvement System requirements</b> <i>Specify by tier (add rows if needed):</i>					
<b>State licensing requirements</b>					
<b>Other</b> <i>Describe:</i>					
<i>[Edit the labels on the above rows as needed, and enter text here to clarify or explain any of the data, if necessary.]</i>					

**Table (A)(1)-8: Elements of high-quality health promotion practices currently required within the State**

*Please place an "X" in the boxes to indicate where the elements of high-quality health promotion practices are currently required.*

Types of Programs or Systems	Elements of high-quality health promotion practices				
	Health and safety requirements	Developmental, behavioral, and sensory screening, referral, and follow-up	Health promotion, including physical activity and healthy eating habits	Health literacy	Other
<b>State-funded preschool</b> <i>Specify</i>					
<b>Early Head Start and Head Start</b>					

**Table (A)(1)-8: Elements of high-quality health promotion practices currently required within the State**

*Please place an "X" in the boxes to indicate where the elements of high-quality health promotion practices are currently required.*

Types of Programs or Systems	Elements of high-quality health promotion practices				
	Health and safety requirements	Developmental, behavioral, and sensory screening, referral, and follow-up	Health promotion, including physical activity and healthy eating habits	Health literacy	Other
Programs funded under IDEA Part C					
Programs funded under IDEA Part B, section 619					
Programs funded under Title I of ESEA					
Programs receiving CCDF funds					
Current Quality Rating and Improvement System requirements <i>Specify by tier (add rows if needed):</i>					
State licensing requirements					
Other <i>Describe:</i>					
<i>[Edit the labels on the above rows as needed, and enter text here to clarify or explain any of the data, if necessary.]</i>					

**Table (A)(1)-9: Elements of a high-quality family engagement strategy currently required within the State**

*Please describe the types of high-quality family engagement strategies required in the State. Types of strategies may, for example, include parent access to the program, ongoing two-way communication with families, parent education in child development, outreach to fathers and other family members, training and support for families as children move to preschool and kindergarten, social networks of support, intergenerational activities, linkages with community supports and family literacy programs, parent involvement in decision making, and parent leadership development.*

<b>Types of Programs or Systems</b>	<b>Describe Family Engagement Strategies Required Today</b>
<b>State-funded preschool</b> <i>Specify:</i>	
<b>Early Head Start and Head Start</b>	
<b>Programs funded under IDEA Part C</b>	
<b>Programs funded under IDEA Part B, section 619</b>	
<b>Programs funded under Title I of ESEA</b>	
<b>Programs receiving CCDF funds</b>	
<b>Current Quality Rating and Improvement System requirements</b> <i>Specify by tier (add rows if needed):</i>	
<b>State licensing requirements</b>	
<b>Other</b> <i>Describe:</i>	
<i>[Edit the labels on the above rows as needed, and enter text here to clarify or explain any of the data, if necessary.]</i>	

**Table (A)(1)-10: Status of all early learning and development workforce credentials<sup>14</sup> currently available in the State**

List the early learning and development workforce credentials in the State	If State has a workforce knowledge and competency framework, is the credential aligned to it?  (Yes/No/Not Available)	Number and percentage of Early Childhood Educators who have the credential		Notes (if needed)
		#	%	
[Add additional rows as needed and enter text here to clarify or explain any of the data, if necessary.]				

**Table (A)(1)-11: Summary of current postsecondary institutions and other professional development providers in the State that issue credentials or degrees to Early Childhood Educators**

List postsecondary institutions and other professional development providers in the State that issue credentials or degrees to Early Childhood Educators	Number of Early Childhood Educators that received an early learning credential or degree from this entity in the previous year	Does the entity align its programs with the State's current Workforce Knowledge and Competency Framework and progression of credentials?  (Yes/No/Not Available)
[Add additional rows as needed and enter text here to clarify or explain any of the data, if necessary.]		

<sup>14</sup> Includes both credentials awarded and degrees attained.

<b>Table (A)(1)-12: Current status of the State’s Kindergarten Entry Assessment</b>					
<b>State’s Kindergarten Entry Assessment</b>	<b>Essential Domains of School Readiness</b>				
	<b>Language and literacy</b>	<b>Cognition and general knowledge (including early mathematics and early scientific development)</b>	<b>Approaches toward learning</b>	<b>Physical well-being and motor development</b>	<b>Social and emotional development</b>
Domain covered? (Y/N)					
Domain aligned to Early Learning and Development Standards? (Y/N)					
Instrument(s) used? ( <i>Specify</i> )					
Evidence of validity and reliability? (Y/N)					
Evidence of validity for English learners? (Y/N)					
Evidence of validity for children with disabilities? (Y/N)					
How broadly administered? ( <i>If not administered statewide, include date for reaching statewide administration</i> )					
Results included in Statewide Longitudinal Data System? (Y/N)					

<b>Table (A)(1)-13: Profile of all early learning and development data systems currently used in the State</b>							
<b>List each data system currently in use in the State that includes early learning and development data</b>	<b>Essential Data Elements</b>						
	<i>Place an “X” for each Essential Data Element (refer to the definition) included in each of the State’s data systems</i>						
	Unique child identifier	Unique Early Childhood Educator identifier	Unique program site identifier	Child and family demographic information	Early Childhood Educator demographic information	Data on program structure and quality	Child-level program participation and attendance
<i>[Add additional rows as needed and enter text here to clarify or explain any of the data, if necessary.]</i>							

The performance measures for Core Area B are required for all applicants.

Performance Measures for (B)(2)(c): Increasing the number and percentage of Early Learning and Development Programs participating in the statewide Tiered Quality Rating and Improvement System											
Type of Early Learning and Development Program in the State	Number of programs in the State	Baseline and Annual Targets -- Number and percentage of Early Learning and Development Programs in the Tiered Quality Rating and Improvement System									
		Baseline (Today)		Target-end of calendar year 2012		Target - end of calendar year 2013		Target-end of calendar year 2014		Target- end of calendar year 2015	
		#	%	#	%	#	%	#	%	#	%
State-funded preschool <i>Specify:</i>											
Early Head Start and Head Start <sup>15</sup>											
Programs funded by IDEA, Part C											
Programs funded by IDEA, Part B, section 619											
Programs funded under Title I of ESEA											
Programs receiving from CCDF funds											
Other <i>Describe:</i>											
[Please indicate if baseline data are actual or estimated; describe the methodology used to collect the data, including any error or data quality information; and please include any definitions you used that are not defined in the notice.]											

<sup>15</sup> Including Migrant and Tribal Head Start located in the State.

<b>Performance Measure for (B)(4)(c)(1): Increasing the number of Early Learning and Development Programs in the top tiers of the Tiered Quality Rating and Improvement System.</b>					
	<b>Baseline (Today)</b>	<b>Target- end of calendar year 2012</b>	<b>Target- end of calendar year 2013</b>	<b>Target- end of calendar year 2014</b>	<b>Target- end of calendar year 2015</b>
<b>Total number of programs covered by the Tiered Quality Rating and Improvement System</b>					
<b>Number of programs in Tier 1</b>					
<b>Number of programs in Tier 2</b>					
<b>Number of programs in Tier 3</b>					
<b>Number of programs in Tier 4</b>					
<p><i>Include a row for each tier in the State's Tiered Quality Rating and Improvement System, customize the labeling of the tiers, and indicate the highest and lowest tier.</i></p> <p><i>[Please indicate if baseline data are actual or estimated; describe the methodology used to collect the data, including any error or data quality information. Also, if applicable, describe in your narrative how programs participating in the current Tiered Quality Rating and Improvement System will be transitioned to the updated Tiered Quality Rating and Improvement System.]</i></p>					

<b>Performance Measures for (B)(4)(c)(2): Increasing the number and percentage of Children with High Needs who are enrolled in Early Learning and Development Programs that are in the top tiers of the Tiered Quality Rating and Improvement System.</b>											
<b>Type of Early Learning and Development Program in the State</b>	<b>Number of Children with High Needs served by programs in the State</b>	<i>Baseline and Annual Targets -- Number and percent of Children with High Needs Participating in Programs that are in the top tiers of the Tiered Quality Rating and Improvement System</i>									
		<b>Baseline (Today)</b>		<b>Target-end of calendar year 2012</b>		<b>Target - end of calendar year 2013</b>		<b>Target-end of calendar year 2014</b>		<b>Target-end of calendar year 2015</b>	
		#	%	#	%	#	%	#	%	#	%
State-funded preschool <i>Specify:</i>											
Early Head Start and Head Start <sup>16</sup>											
Early Learning and Development Programs funded by IDEA, Part C											
Early Learning and Development Programs funded by IDEA, Part B, section 619											
Early Learning and Development Programs funded under Title I of ESEA											
Early Learning and Development Programs receiving funds from the State's CCDF program											

<sup>16</sup> Including Migrant and Tribal Head Start located in the State.



Performance Measures for (B)(4)(c)(2): Increasing the number and percentage of Children with High Needs who are enrolled in Early Learning and Development Programs that are in the top tiers of the Tiered Quality Rating and Improvement System.											
Type of Early Learning and Development Program in the State	Number of Children with High Needs served by programs in the State	Baseline and Annual Targets -- Number and percent of Children with High Needs Participating in Programs that are in the top tiers of the Tiered Quality Rating and Improvement System									
		Baseline (Today)		Target-end of calendar year 2012		Target - end of calendar year 2013		Target-end of calendar year 2014		Target-end of calendar year 2015	
		#	%	#	%	#	%	#	%	#	%
Other  <i>Describe:</i>											
[Please list which tiers the State has included as “top tiers,” indicate whether baseline data are actual or estimated; and describe the methodology used to collect the data, including any error or data quality information.]											

There may be selection criteria in a State's FY 2011 application that the State does not address in its Phase 2 application. For criteria addressed in a State's Phase 2 application, the State must complete the performance measure tables or provide an attachment with the required performance measure information. The State may provide additional performance measures, baseline data, and targets for a criterion if it chooses. If a State does not have baseline data for a performance measure, the State should indicate that the data are not available and explain why.

<b>Performance Measures for (C)(3)(d) Leveraging existing resources to meet ambitious yet achievable annual statewide targets.</b>					
	<i>Baseline and annual targets</i>				
	<b>Baseline (Today, if known)</b>  <i>If unknown please use narrative to explain plan for defining baseline and setting and meeting annual targets</i>	<b>Target for end of calendar year 2012</b>	<b>Target for end of calendar year 2013</b>	<b>Target for end of calendar year 2014</b>	<b>Target for end of calendar year 2015</b>
<b>Number of Children with High Needs screened</b>					
<b>Number of Children with High Needs referred for services who received follow-up/treatment</b>					
<b>Number of Children with High Needs who participate in ongoing health care as part of a schedule of well child care</b>					
<b>Of these participating children, the number or percentage of children who are</b>					

<b>Performance Measures for (C)(3)(d) Leveraging existing resources to meet ambitious yet achievable annual statewide targets.</b>					
	<i>Baseline and annual targets</i>				
	<b>Baseline (Today, if known)</b>  <i>If unknown please use narrative to explain plan for defining baseline and setting and meeting annual targets</i>	<b>Target for end of calendar year 2012</b>	<b>Target for end of calendar year 2013</b>	<b>Target for end of calendar year 2014</b>	<b>Target for end of calendar year 2015</b>
<b>up-to-date in a schedule of well child care</b>					
<i>[Please indicate if baseline data are actual or estimated; describe the methodology used to collect the data, including any error or data quality information; and please include any definitions you used that are not defined in the notice.]</i>					

<b>Performance Measures for (D)(2)(d)(1): Increasing the number of Early Childhood Educators receiving credentials from postsecondary institutions and professional development providers with programs that are aligned to the Workforce Knowledge and Competency Framework</b>					
	<b>Baseline (Today)</b>	<b>Target - end of calendar year 2012</b>	<b>Target - end of calendar year 2013</b>	<b>Target - end of calendar year 2014</b>	<b>Target – end of calendar year 2015</b>
Total number of “aligned” institutions and providers					
Total number of Early Childhood Educators credentialed by an “aligned” institution or provider					
<i>[Please indicate whether baseline data are actual or estimated and describe the methodology used to collect the data, including any error or data quality information; and please include any definitions you used that are not defined in the notice. If baseline data are not currently available please describe in your High-Quality Plan in your narrative how and when you will have baseline data available.]</i>					

Performance Measures for (D)(2)(d)(2): Increasing number and percentage of Early Childhood Educators who are progressing to higher levels of credentials that align with the Workforce Knowledge and Competency Framework.										
Progression of credentials (Aligned to Workforce Knowledge and Competency Framework)	Baseline and Annual Targets -- Number and percentage of Early Childhood Educators who have moved up the progression of credentials, aligned to the Workforce Knowledge and Competency Framework, in the prior year									
	Baseline (Today)		Target- end of calendar year 2012		Target- end of calendar year 2013		Target- end of calendar year 2014		Target- end of calendar year 2015	
	#	%	#	%	#	%	#	%	#	%
<b>Credential Type 1</b> Specify:										
<b>Credential Type 2</b> Specify:										
<b>Credential Type 3</b> Specify:										
<b>Credential Type 4</b> Specify:										
<p>Include a row for each credential in the State's proposed progression of credentials, customize the labeling of the credentials, and indicate the highest and lowest credential.</p> <p>[Please indicate if baseline data are actual or estimated; describe the methodology used to collect the data, including any error or data quality information.]</p>										

## PART 5: BUDGET

**Budget Requirements:** An eligible applicant may apply for up to 50 percent of the funds it requested in its FY 2011 RTT-ELC application. The following budget requirements apply to the Phase 2 RTT-ELC award process:

(a) **Budget Narrative.** Each eligible applicant must submit a detailed narrative and budget, using the format and instructions provided in the FY 2011 RTT-ELC application package, which describes the activities it has selected from its FY 2011 RTT-ELC application that it proposes to implement with a Phase 2 RTT-ELC award. This detailed narrative must include an explanation of why the eligible applicant has selected these activities and why the eligible applicant believes they will have the greatest impact on advancing its high-quality plan for early learning. The narrative must also explain where the applicant has made adjustments (such as, a reduction in the number of participating programs or areas of the State served, or the dedication of additional Federal, State, local, or private funds to support the plan) to ensure that the activities can be carried out successfully with the amount of funds available. In reviewing the narrative, we may request that the applicant submit revisions to address concerns related to feasibility or the strategic use of funds. (See the notice inviting applications for the FY 2011 RTT-ELC competition, published in the Federal Register on August 26, 2011 (76 FR 53564).)

(b) **Applying as a Consortium.** As discussed previously, we encourage eligible applicants to form consortia with each other or partner with currently funded FY 2011 RTT-ELC grantees in carrying out specific activities (such as validation of a State's TQRIS, implementation of longitudinal data systems, or development of a kindergarten entry assessment). Eligible applicants may apply individually or as members of a consortium (with other eligible applicants) under 34 CFR 75.127-129. A consortium can be formed only with other eligible applicants and requires a single application. A partnership can be described in the application of an individual State or a consortium and can include eligible applicants as well as currently-funded grantees. Each eligible applicant must propose activities consistent with its FY 2011 RTT-ELC application. Therefore, each eligible applicant that chooses to apply as a member of a consortium or to partner with a current RTT-ELC grantee in carrying out project activities must include in its revised budget narrative an explanation of how the activities to be undertaken by the consortium or partnership are consistent with the applicant's FY 2011 RTT-ELC application and how the consortium or partnership will help the applicant implement its selected activities. It is important to note that an applicant may propose some activities that it would execute alone and others that it would execute as part of a consortium.

(c) **Available Funds.** The maximum amounts of funding for which each eligible applicant may apply are shown in the following table. The amounts in this table are based on the requirement that each eligible applicant may apply for up to half of the amount it requested in its FY 2011 RTT-ELC application.

State	Maximum Amount
Colorado	\$29,925,888
Illinois	\$34,798,696
New Mexico	\$25,000,000

Oregon	\$20,508,902
Wisconsin	\$22,701,389

Grant Period: The grant period for this award is December 31, 2012 through December 31, 2016.

## **BUDGET INSTRUCTIONS**

(from the FY 2011 application)

In the following budget section, the State is responding to selection criterion (A)(4)(b) from its FY 2011 application. The State should revise its budgets and budget narratives to provide a detailed description of how it plans to use Federal RTT-ELC grant funds and funds from other sources (Federal, State, private, and local) to support projects under the State Plan. States' budget tables and narratives, when taken together, should also address the specific elements of selection criterion (A)(4)(b), including by describing how the State will effectively and efficiently use funding from this grant to achieve the outcomes in the State Plan and do so in a manner that

- (1) Is adequate to support the activities described in the State Plan;
- (2) Includes costs that are reasonable and necessary in relation to the objectives, design, and significance of the activities described in the State Plan and the number of children to be served; and
- (3) Details the amount of funds budgeted for Participating State Agencies, localities, Early Learning Intermediary Organizations, Participating Programs, or other partners, and the specific activities to be implemented with these funds consistent with the State Plan, and demonstrates that a significant amount of funding will be devoted to the local implementation of the State Plan

The budget narratives should be of sufficient scope and detail for the Departments to determine if the costs are necessary, reasonable, and allowable. For further guidance on Federal cost principles, an applicant may wish to consult OMB Circular A-87. (See [www.whitehouse.gov/omb/circulars](http://www.whitehouse.gov/omb/circulars)).

We expect the State to provide a detailed budget by category for each Participating State Agency that rolls up into the total statewide budget. We further expect that the budgets of each Participating State Agency reflect the work associated with fully implementing the High-Quality Plans described under the selection criteria and Competitive Preference Priority 2 and describe each Participating State Agency's budgetary role<sup>17</sup> in carrying out the State Plan.

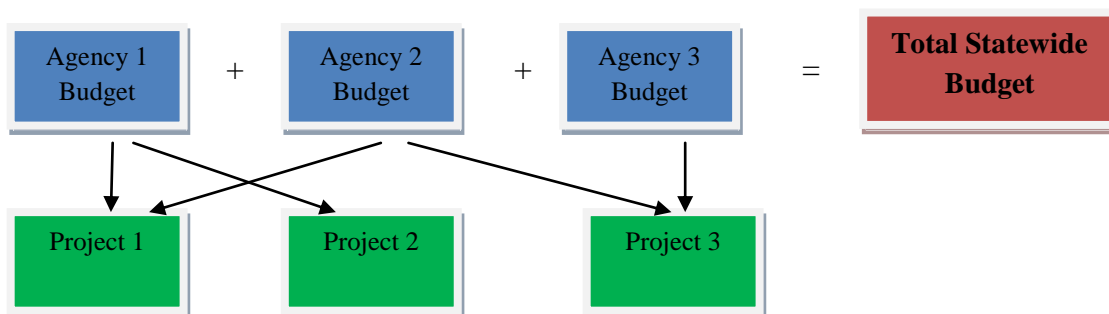
For purposes of the budget, we expect that the State will link its proposed High-Quality Plans to "projects" that the State believes are necessary in order to implement its plans. The State might choose to design some projects that address only one criterion's High-Quality Plan, while other projects might address several similarly-focused criteria as one group. For example, the State might choose to have one "management project" focused on criterion (A)(3), organizing and aligning the early learning and development system to achieve success. It might have another "workforce project" that addresses criteria (D)(1) and (D)(2) under the Great Early Childhood Education Workforce section.

Some projects may be done entirely by one Participating State Agency, while others may be done by multiple agencies in collaboration with one another. The State, together with its

---

<sup>17</sup> Participating State Agency's budgetary roles should be consistent with the scope of work outlined in the Participating State Agency's MOU or other binding agreement.

Participating State Agencies, will define the projects required to implement the State Plan and will determine which Participating State Agencies will be involved in each project, as shown below.



To support the budgeting process, we strongly suggest that applicants use the RTT-ELC budget spreadsheets prepared by the Departments to build their budgets. These spreadsheets must be submitted together with, but in a file separate from, the application.<sup>18</sup> These spreadsheets have formulas built into them that are intended to help States produce the budget tables required within this section.

The following information must be included in the State's budget:

- I. **Budget Summaries:** In this section, the State provides overall budget summary information by budget category, Participating State Agency, and project.
  - a. **Budget Summary by Budget Category.** This is the cover sheet for the budget. (See Budget Table I-1.) States should complete this table as the final step in their budgeting process, and include this table as the first page of the State's budget. (Note: Each row in this table is calculated by adding together the corresponding rows in each of the Participating State Agency Budget by Category tables. If the State uses the budget spreadsheets provided, these "roll-up" calculations are done automatically.)
  - b. **Budget Summary by Participating State Agency.** This summary lists the total annual budget for each Participating State Agency. (See Budget Table I-2.) States should complete this table after completing Budget Table II-1 for each Participating State Agency (see Part II: Participating State Agency Budgets). If the State uses the budget spreadsheets provided, these "roll-up" calculations are done automatically for the State.
  - c. **Budget Summary by Project.** This summary lists the total annual budget for each of the projects. (See Budget Table I-3.) States should complete this table after completing Budget Table II-2 for each Participating State Agency (see Part II:

<sup>18</sup> See Application Submission Procedures, section XV. Please note that the RTT-ELC budget spreadsheets will not be used by the reviewers to judge or score the State's application. However, these spreadsheets do produce tables that States may use in completing the budget tables that the State submits as part of its application. In addition, the budget spreadsheets will be used by the Departments for budget reviews.



Participating State Agency Budgets). If the State uses the budget spreadsheets provided, these “roll-up” calculations are done automatically for the State.

- d. Budget Summary Narrative. This budget narrative accompanies the three Budget Summary Tables and provides the rationale for the budget. The narrative should include, for example, an overview of each Participating State Agency’s budgetary responsibilities and descriptions of each project that the State has included in its budget.

II. Budgets for Each Participating State Agency. In this section, the State describes each Participating State Agency’s budgetary responsibilities.<sup>19</sup> The State should replicate this section for each Participating State Agency and for each Participating State Agency complete the following:

- a. Participating State Agency By Budget Category. This is the budget for each Participating State Agency by budget category for each year for which funding is requested. (See Budget Table II-1.)
- b. Participating State Agency By Project. This table lists the Participating State Agency’s proposed budget for each project in which it is involved. (See Budget Table II-2.)
- c. Participating State Agency Budget Narrative. This budget narrative describes the Participating State Agency’s budget category line items and addresses how the Participating State Agency’s budget will support the implementation of each project in which it is involved.

The State should replicate Budget Part II for each Participating State Agency as follows:

- For Participating State Agency 1: Budget by Category, Budget by Project, Narrative
- For Participating State Agency 2: Budget by Category, Budget by Project, Narrative

---

<sup>19</sup> Participating State Agency’s budgetary roles should be consistent with the scope of work outlined in the Participating State Agency’s MOU or other binding agreement.

## BUDGET PART I: SUMMARY

### BUDGET PART I -TABLES

**Budget Table I-1: Budget Summary by Budget Category**--*The State must include the budget totals for each budget category for each year of the grant. These line items are derived by adding together the corresponding line items from each of the Participating State Agency Budget Tables.*

<b><u>Budget Table I-1: Budget Summary by Budget Category</u></b> <b>(Evidence for selection criterion (A)(4)(b))</b>					
<b>Budget Categories</b>	<b>Grant Year 1 (a)</b>	<b>Grant Year 2 (b)</b>	<b>Grant Year 3 (c)</b>	<b>Grant Year 4 (d)</b>	<b>Total (e)</b>
1. Personnel					
2. Fringe Benefits					
3. Travel					
4. Equipment					
5. Supplies					
6. Contractual					
7. Training Stipends					
8. Other					
9. Total Direct Costs (add lines 1-8)					
10. Indirect Costs*					
11. Funds to be distributed to localities, Early Learning Intermediary Organizations, Participating Programs and other partners.					
12. Funds set aside for participation in grantee technical assistance					
13. <b>Total Grant Funds Requested</b> (add lines 9-12)					
14. Funds from other sources used to support the State Plan					
15. <b>Total Statewide Budget</b> (add lines 13-14)					
<p><u>Columns (a) through (d):</u> For each grant year for which funding is requested, show the total amount requested for each applicable budget category.</p> <p><u>Column (e):</u> Show the total amount requested for all grant years.</p> <p><u>Line 6:</u> Show the amount of funds allocated through contracts with vendors for products to be acquired and/or professional services to be provided. A State may apply its indirect cost rate only against the first \$25,000 of each contract included in line 6.</p> <p><u>Line 10:</u> If the State plans to request reimbursement for indirect costs, complete the Indirect Cost Information form at the end</p>					

**Budget Table I-1: Budget Summary by Budget Category**  
**(Evidence for selection criterion (A)(4)(b))**

<b>Budget Categories</b>	<b>Grant Year 1 (a)</b>	<b>Grant Year 2 (b)</b>	<b>Grant Year 3 (c)</b>	<b>Grant Year 4 (d)</b>	<b>Total (e)</b>
<p>of this Budget section. Note that indirect costs are not allocated to line 11.</p> <p><u>Line 11:</u> Show the amount of funds to be distributed to localities, Early Learning Intermediary Organizations, Participating Programs, and other partners through MOUs, interagency agreements, contracts, or other mechanisms authorized by State procurement laws. States are not required to provide budgets for how the localities, Early Learning Intermediary Organizations, Participating Programs, and other partners will use these funds. However, the Departments expect that, as part of the administration and oversight of the grant, States will monitor and track all expenditures to ensure that localities, Early Learning Intermediary Organizations, Participating Programs, and other partners spend these funds in accordance with the State Plan.</p> <p><u>Line 12:</u> The State must set aside \$400,000 from its grant funds for the purpose of participating in RTT–ELC grantee technical assistance activities facilitated by ED or HHS. This is primarily to be used for travel and may be allocated to Participating State Agencies evenly across the four years of the grant.</p> <p><u>Line 13:</u> This is the total funding requested under this grant.</p> <p><u>Line 14:</u> Show total funding from other sources (including Federal, State, private, or local) being used to support the State Plan and describe these funding sources in the budget narrative.</p>					

**Budget Table I-2: Budget Summary by Participating State Agency**--*The State must include the budget totals for each Participating State Agency for each year of the grant. These line items should be consistent with the totals of each of the Participating State Agency Budgets provided in Budget Tables II-1.*

<b><u>Budget Table I-2: Budget Summary by Participating State Agency</u></b> (Evidence for selection criterion (A)(4)(b))					
<b>Participating State Agency</b>	<b>Grant Year 1 (a)</b>	<b>Grant Year 2 (b)</b>	<b>Grant Year 3 (c)</b>	<b>Grant Year 4 (d)</b>	<b>Total (e)</b>
<Agency 1>					
<Agency 2>					
<Agency 3>					
<b>Total Statewide Budget</b>					

**Budget Table I-3: Budget Summary by Project**--*The State must include the proposed budget totals for each project for each year of the grant. These line items are the totals, for each project, across all of the Participating State Agencies' project budgets, as provided in Budget Tables II-2.*

<b>Budget Table I-3: Budget Summary by Project</b> (Evidence for selection criterion (A)(4)(b))					
<b>Projects</b>	<b>Grant Year 1 (a)</b>	<b>Grant Year 2 (b)</b>	<b>Grant Year 3 (c)</b>	<b>Grant Year 4 (d)</b>	<b>Total (e)</b>
<Project 1>					
<Project 2>					
<Project 3>					
<b>Total Statewide Budget</b>					

## BUDGET PART I -NARRATIVE

*Describe, in the text box below, the overall structure of the State's budget for implementing the State Plan, including*

- *A list of each Participating State Agency, together with a description of its budgetary and project responsibilities;*
- *A list of projects and a description of how these projects taken together will result in full implementation of the State Plan;*
- *For each project:*
  - *The designation of the selection criterion or competitive preference priority the project addresses;*
  - *An explanation of how the project will be organized and managed in order to ensure the implementation of the High-Quality Plans described in the selection criteria or competitive preference priorities; and*
- *Any information pertinent to understanding the proposed budget for each project.*

*(Enter **narrative** here – recommended maximum of five pages)*

## BUDGET PART II: PARTICIPATING STATE AGENCY

*The State must complete Budget Table II-1, Budget Table II-2, and a narrative for each Participating State Agency with budgetary responsibilities. Therefore, the State should replicate the Budget Part II tables and narrative for each Participating State Agency, and include them in this section as follows:*

- *Participating State Agency 1: Budget Table II-1, Budget Table II-2, narrative.*
- *Participating State Agency 2: Budget Table II-1, Budget Table II-2, narrative.*

### BUDGET PART II -TABLES

Budget Table II-1: Participating State Agency Budget By Budget Category--*The State must include the Participating State Agency's budget totals for each budget category for each year of the grant.*

<b>Budget Table II-1: Participating State Agency</b> <b>(Evidence for selection criterion (A)(4)(b))</b> <b>&lt;Participating State Agency Name&gt;</b>					
<b>Budget Categories</b>	<b>Grant Year 1 (a)</b>	<b>Grant Year 2 (b)</b>	<b>Grant Year 3 (c)</b>	<b>Grant Year 4 (d)</b>	<b>Total (e)</b>
1. Personnel					
2. Fringe Benefits					
3. Travel					
4. Equipment					
5. Supplies					
6. Contractual					
7. Training Stipends					
8. Other					
9. Total Direct Costs (add lines 1-8)					
10. Indirect Costs*					
11. Funds to be distributed to localities, Early Learning Intermediary Organizations, Participating Programs and other partners.					
12. Funds set aside for participation in grantee technical assistance					

<b>Budget Table II-1: Participating State Agency</b> <b>(Evidence for selection criterion (A)(4)(b))</b> <b>&lt;Participating State Agency Name&gt;</b>					
Budget Categories	Grant Year 1 (a)	Grant Year 2 (b)	Grant Year 3 (c)	Grant Year 4 (d)	Total (e)
13. <b>Total Grant Funds Requested</b> (add lines 9-12)					
14. Funds from other sources used to support the State Plan					
15. <b>Total Budget</b> (add lines 13-14)					

Columns (a) through (d): For each grant year for which funding is requested, show the total amount requested for each applicable budget category.  
Column (e): Show the total amount requested for all grant years.  
Line 6: Show the amount of funds allocated through contracts with vendors for products to be acquired and/or professional services to be provided. A State may apply its indirect cost rate only against the first \$25,000 of each contract included in line 6.  
Line 10: If the State plans to request reimbursement for indirect costs, complete the Indirect Cost Information form at the end of this Budget section. Note that indirect costs are not allocated to line 11.  
Line 11: Show the amount of funds to be distributed to localities, Early Learning Intermediary Organizations, Participating Programs, and other partners through MOUs, interagency agreements, contracts, or other mechanisms authorized by State procurement laws. States are not required to provide budgets for how the localities, Early Learning Intermediary Organizations, Participating Programs, and other partners will use these funds. However, the Departments expect that, as part of the administration and oversight of the grant, States will monitor and track all expenditures to ensure that localities, Early Learning Intermediary Organizations, Participating Programs, and other partners spend these funds in accordance with the State Plan.  
Line 12: The Participating State Agency's allocation of the \$400,000 the State must set aside from its Total Grant Funds Requested for the purpose of participating in RTT-ELC grantee technical assistance activities facilitated by ED or HHS. This is primarily to be used for travel and may be allocated evenly across the four years of the grant.  
Line 13: This is the total funding requested under this grant.  
Line 14: Show total funding from other sources (including Federal, State, private, or local) being used to support the State Plan and describe these funding sources in the budget narrative.



Budget Table II-2: Participating State Agency Budget By Project--*The State must include the Participating State Agency's proposed budget totals for each project for each year of the grant.*

<b><u>Budget Table II-2: Participating State Agency</u></b> <b>(Evidence for selection criterion (A)(4)(b))</b> <i>&lt;Participating State Agency Name&gt;</i>					
<b>Project</b>	<b>Grant Year 1 (a)</b>	<b>Grant Year 2 (b)</b>	<b>Grant Year 3 (c)</b>	<b>Grant Year 4 (d)</b>	<b>Total (e)</b>
<i>&lt;Project 1&gt;</i>					
<i>&lt;Project 2&gt;</i>					
<i>&lt;Project 3&gt;</i>					
Total Budget					

## **BUDGET PART II - NARRATIVE**

*Describe, in the text box below, the Participating State Agency's budget, including--*

- *How the Participating State Agency plans to organize its operations in order to manage the RTT-ELC funds and accomplish the work set forth in the MOU or other binding agreement and scope of work;*
- *For each project in which the Participating State Agency is involved, and consistent with the MOU or other binding agreement and scope of work:*
  - *An explanation of the Participating State Agency's roles and responsibilities*
  - *An explanation of how the proposed project annual budget was derived*
- *A detailed explanation of each budget category line item, including the information below.*

### **1) Personnel**

Provide:

- The title and role of each position to be compensated under this grant.
- The salary for each position.
- The amount of time, such as hours or percentage of time, to be expended by each position.
- Any additional basis for cost estimates or computations.

Explain:

- The importance of each position to the success of specific. If curriculum vitae, an organizational chart, or other supporting information will be helpful to reviewers, attach in the Appendix and describe its location.

### **2) Fringe Benefits**

Provide:

- The fringe benefit percentages for all personnel.
- The basis for cost estimates or computations.

### **3) Travel**

Provide:

- An estimate of the number of trips.
- An estimate of transportation and/or subsistence costs for each trip.
- Any additional basis for cost estimates or computations.

Explain:

- The purpose of the travel, how it relates to project goals, and how it will contribute to project success.

### **4) Equipment**

Provide:

- The type of equipment to be purchased.
- The estimated unit cost for each item to be purchased.

- The definition of equipment used by the State.
- Any additional basis for cost estimates or computations.

Explain:

- The justification of the need for the items of equipment to be purchased.

## **5) Supplies**

Provide:

- An estimate of materials and supplies needed, by nature of expense or general category (*e.g.*, instructional materials, office supplies).
- The basis for cost estimates or computations.

## **6) Contractual**

Provide:

- The products to be acquired and/or the professional services to be provided.
- The estimated cost per expected procurement.
- For professional services contracts, the amounts of time to be devoted to the project, including the costs to be charged to this proposed grant award.
- A brief statement that the State has followed the procedures for procurement under 34 CFR Parts 74.40 - 74.48 and Part 80.36.
- Any additional basis for cost estimates or computations.

Explain:

- The purpose and relation to the State Plan or specific project.

Note: Because grantees must use appropriate procurement procedures to select contractors, applicants should not include information in their grant applications about specific contractors that may be used to provide services or goods for the proposed project if a grant is awarded.

## **7) Training Stipends**

Note:

- The training stipend line item only pertains to costs associated with long-term training programs and college or university coursework that results in a credential or degree, not workshops or short-term training supported by this program.
- Salary stipends paid to teachers and other early learning personnel for participating in short-term professional development should be reported in Personnel (line 1).

Provide:

- ☐ Descriptions of training stipends to be provided, consistent with the “note” above.
- ☐ The cost estimates and basis for these estimates.

Explain:

- ☐ The purpose of the training.

## **8) Other**

Provide:

- ☐ Other items by major type or category.
- ☐ The cost per item (printing = \$500, postage = \$750).
- ☐ Any additional basis for cost estimates or computations.

Explain:

- ☐ The purpose of the expenditures.

## **9) Total Direct Costs**

Provide:

- ☐ The sum of expenditures, across all budget categories in lines 1-8, for each year of the budget.

## **10) Indirect Costs**

Provide:

- ☐ Identify and apply the indirect cost rate. (See the section that follows, Budget: Indirect Cost Information.)

## **11) Funds distributed to localities, Early Learning Intermediary Organizations, Participating Programs, or other partners through MOUs, interagency agreements, contracts, or other mechanisms authorized by State procurement laws.**

Provide:

- The specific activities to be done by localities, Early Learning Intermediary Organizations, Participating Programs, or other partners.
- The estimated cost of each activity.
- The approximate number of localities, Early Learning Intermediary Organizations, Participating Programs, or other partners involved in each activity.
- The total cost of each activity (across all localities, Early Learning Intermediary Organizations, Participating Programs and other partners).
- Any additional basis for cost estimates or computations.

Explain:

- The purpose of each activity and its relation to the State Plan or specific project.

Note: States are not required to provide budgets for how the localities, Early Learning Intermediary Organizations, Participating Programs, and other partners will use these funds. However, the Department expects that, as part of the administration and oversight of the grant, States will monitor and track all expenditures to ensure that localities, Early Learning Intermediary Organizations, Participating Programs, and other partners spend these funds in accordance with the State Plan.

## **12) Funds set aside for participation in grantee technical assistance**

Provide:

- The amount per year set aside for this Participating State Agency.

Note: The State must set aside \$400,000 from its Total Grant Funds Requested for the purpose of participating in RTT–ELC grantee technical assistance activities facilitated by ED or HHS. This is primarily to be used for travel and may be allocated to Participating State Agencies evenly across the four years of the grant.

### **13) Total Funds Requested**

Provide:

- ☐ The sum of expenditures in lines 9-12, for each year of the budget.

### **13) Other Funds Allocated to the State Plan**

Provide:

- ☐ A description of the sources of other funds the State is using to support the projects in the State Plan.
- ☐ A description of how the quality set-asides in CCDF will be used for activities and services described in the State Plan, if applicable.
- ☐ Any financial contributions being made by private entities such as foundations.

Explain:

- ☐ Each funding source, the activities being funded and their relation to the State Plan or specific project, and any requirements placed on the use of funds or timing of the activity.

### **14) Total Budget**

Provide:

- ☐ The sum of expenditures in lines 13 and 14, for each year of the budget

*(Enter **narrative** here – recommended maximum of five pages)*

## BUDGET: INDIRECT COST INFORMATION

To request reimbursement for indirect costs, please answer the following questions:

Does the State have an Indirect Cost Rate Agreement approved by the Federal government?	
YES	<input type="radio"/>
NO	<input type="radio"/>
If yes to question 1, please provide the following information:	
Period Covered by the Indirect Cost Rate Agreement (mm/dd/yyyy):	
From: ____/____/____	To: ____/____/____
Approving Federal agency: ____ED ____HHS ____Other	
(Please specify agency): _____	

Directions for this form:

1. Indicate whether or not the State has an Indirect Cost Rate Agreement that was approved by the Federal government.
2. If “No” is checked, the Departments generally will authorize grantees to use a temporary rate of 10 percent of budgeted salaries and wages subject to the following limitations:
  - (a) The grantee must submit an indirect cost proposal to its cognizant agency within 90 days after the grant award notification is issued; and
  - (b) If after the 90-day period, the grantee has not submitted an indirect cost proposal to its cognizant agency, the grantee may not charge its grant for indirect costs until it has negotiated an indirect cost rate agreement with its cognizant agency.

If “Yes” is checked, indicate the beginning and ending dates covered by the Indirect Cost Rate Agreement. In addition, indicate whether ED, HHS, or another Federal agency (Other) issued the approved agreement. If “Other” was checked, specify the name of the agency that issued the approved agreement.

## **PART 6: PARTICIPATING STATE AGENCY MEMORANDUM OF UNDERSTANDING**

### **RACE TO THE TOP-EARLY LEARNING CHALLENGE PARTICIPATING STATE AGENCY MODEL MEMORANDUM OF UNDERSTANDING**

*(from Appendix C of the FY 2011 Notice Inviting Applications)*

#### **Background for Memorandum of Understanding**

Each Participating State Agency identified in a State's Race to the Top-Early Learning Challenge (RTT-ELC) State Plan is required to enter into a Memorandum of Understanding (MOU) or other binding agreement with the State's Lead Agency that specifies the scope of the work that will be implemented by the Participating State Agency. The purpose of the MOU or other binding agreement is to define a relationship between the Lead Agency and the Participating State Agency that is specific to the RTT-ELC competition; the MOU or other binding agreement is not meant to detail all typical aspects of grant coordination or administration.

To support States in working efficiently with their Participating State Agencies to affirm each Participating State Agency's participation in the State Plan, ED and HHS have produced a model MOU, which is attached. This model MOU may serve as a template for States; however, States are not required to use it. States may use a document other than the model MOU, as long as it includes the key features noted below and in the model MOU. States should consult with their State attorneys on what is most appropriate. States may allow multiple Participating State Agencies to sign a single MOU or other binding agreement, with customized exhibits for each Participating State Agency, if the State so chooses.

At a minimum, an RTT-ELC MOU or other binding agreement should include the following key features, each of which is described in detail below and exemplified in the attached model MOU: (i) terms and conditions; (ii) a scope of work; and, (iii) authorized signatures.

(i) Terms and conditions: Each Participating State Agency must sign a standard set of terms and conditions that includes, at a minimum, key roles and responsibilities of the Lead Agency and the Participating State Agency; State recourse for non-performance by the Participating State Agency; and assurances that make clear what the Participating State Agency is agreeing to do.

(ii) Scope of work: RTT-ELC MOUs or other binding agreements must include a preliminary scope of work (included in the model RTT-ELC MOU as Exhibit I) that is completed by each Participating State Agency. The scope of work must be signed and dated by an authorized Participating State Agency official and an authorized Lead Agency official. In the interest of time and in consideration of the effort it will take for the Lead Agency and Participating State Agencies to develop detailed work plans for RTT-ELC, the scope of work submitted by Participating State Agencies and Lead Agencies as part of a State's application may be preliminary. Preliminary scopes of work must, at a minimum, identify all applicable portions of the State Plan that the Participating State Agency is agreeing to implement and include the required assurances. (Note that in order for a State to be eligible for the RTT-ELC

competition, the Lead Agency must have executed with each Participating State Agency an MOU or other binding agreement, which the State must attach to its application and which must describe the Participating State Agency's level of participation in the grant and must include the required assurances.)

If a State is awarded an RTT-ELC grant, Participating State Agencies will have up to 90 days to complete final scopes of work, which must contain detailed work plans that are consistent with each Participating State Agency's preliminary scope of work and with the State's grant application, and must include the Participating State Agencies' specific goals, activities, timelines, budgets, and key personnel.

(iii) Authorized Signatures: The signatures on the MOU or other binding agreement demonstrate an acknowledgement of the relationship between the Participating State Agency and the Lead Agency. With respect to the relationship between the Participating State Agency and the Lead Agency, the Lead Agency's counter-signature on the MOU or other binding agreement indicates that the Participating State Agency's commitment is consistent with the requirement that a Participating State Agency implement all applicable portions of the State Plan.



## **MODEL PARTICIPATING STATE AGENCY MEMORANDUM OF UNDERSTANDING**

This Memorandum of Understanding (“MOU”) is entered into by and between \_\_\_\_\_ (“Lead Agency”) and \_\_\_\_\_ (“Participating State Agency”). The purpose of this agreement is to establish a framework of collaboration, as well as articulate specific roles and responsibilities in support of the State in its implementation of an approved Race to the Top-Early Learning Challenge grant project.

### **I. ASSURANCES**

The Participating State Agency hereby certifies and represents that it:

- 1) Agrees to be a Participating State Agency and will implement those portions of the State Plan indicated in Exhibit I, if the State application is funded;
- 2) Agrees to use, to the extent applicable and consistent with the State Plan and Exhibit I:
  - (a) A set of statewide Early Learning and Development Standards;
  - (b) A set of statewide Program Standards;
  - (c) A statewide Tiered Quality Rating and Improvement System; and
  - (d) A statewide Workforce Knowledge and Competency Framework and progression of credentials.

*(Please note that Participating State Agencies must provide these assurances in order for the State to be eligible for a Race to the Top-Early Learning Challenge grant.)*

- 3) Has all requisite power and authority to execute and fulfill the terms of this MOU;
- 4) Is familiar with the State’s Race to the Top-Early Learning Challenge grant application and is supportive of and committed to working on all applicable portions of the State Plan;
- 5) Will provide a Final Scope of Work only if the State’s application is funded and will do so in a timely fashion but no later than 90 days after a grant is awarded; and will describe the Participating State Agency’s specific goals, activities, timelines, budgets, and key personnel (“Participating State Agency Plan”) in a manner that is consistent with the Preliminary Scope of Work (Exhibit I), with the Budget included in section VIII of the State Plan (including existing funds, if any, that the Participating State Agency is using for activities and services that help achieve the outcomes of the State Plan; and
- 6) Will comply with all of the terms of the Race to the Top-Early Learning Challenge Grant, this agreement, and all applicable Federal and State laws and regulations, including laws and regulations applicable to the Race to the Top-Early Learning Challenge program, and the applicable provisions of EDGAR (34 CFR Parts 75, 77, 79, 80, 82, 84, 85, 86, 97, 98 and 99).

## **II. PROJECT ADMINISTRATION**

### **A. PARTICIPATING STATE AGENCY RESPONSIBILITIES**

In assisting the Lead Agency in implementing the tasks and activities described in the State’s Race to the Top-Early Learning Challenge grant application, the Participating State Agency will:

- 1) Implement the Participating State Agency Scope of Work as identified in the Exhibit I of this agreement;
- 2) Abide by the governance structure outlined in the State Plan;

- 3) Abide by the Participating State Agency's Budget included in section VIII of the State Plan (including the existing funds from Federal, State, private and local sources, if any, that the Participating State Agency is using to achieve the outcomes in the RTT-ELC State Plan);
- 4) Actively participate in all relevant meetings or other events that are organized or sponsored by the State, by the U.S. Department of Education ("ED"), or by the U.S. Department of Health and Human Services ("HHS");
- 5) Post to any Web site specified by the State, ED, or HHS, in a timely manner, all non-proprietary products and lessons learned developed using Federal funds awarded under the RTT-ELC grant;
- 6) Participate, as requested, in any evaluations of this grant conducted by the State, ED, or HHS;
- 7) Be responsive to State, ED, or HHS requests for project information including on the status of the project, project implementation, outcomes, and any problems anticipated or encountered, consistent with applicable local, State and Federal privacy laws.

## **B. LEAD AGENCY RESPONSIBILITIES**

In assisting the Participating State Agencies in implementing their tasks and activities described in the State's Race to the Top-Early Learning Challenge application, the Lead Agency will:

- 1) Work collaboratively with, and support the Participating State Agency in carrying out the Participating State Agency Scope of Work, as identified in Exhibit I of this agreement;
- 2) Timely award the portion of Race to the Top-Early Learning Challenge grant funds designated for the Participating State Agency in the State Plan during the course of the project period and in accordance with the Participating State Agency's Scope of Work, as identified in Exhibit I, and in accordance with the Participating State Agency's Budget, as identified in section VIII of the State's application;
- 3) Provide feedback on the Participating State Agency's status updates, any interim reports, and project plans and products;
- 4) Keep the Participating State Agency informed of the status of the State's Race to the Top-Early Learning Challenge grant project and seek input from the Participating State Agency, where applicable, through the governance structure outlined in the State Plan;
- 5) Facilitate coordination across Participating State Agencies necessary to implement the State Plan; and
- 6) Identify sources of technical assistance for the project.

## **C. JOINT RESPONSIBILITIES**

- 1) The Lead Agency and the Participating State Agency will each appoint a key contact person for the Race to the Top-Early Learning Challenge grant.
- 2) These key contacts from the Lead Agency and the Participating State Agency will maintain frequent communication to facilitate cooperation under this MOU, consistent with the State Plan and governance structure.
- 3) Lead Agency and Participating State Agency personnel will work together to determine appropriate timelines for project updates and status reports throughout the grant period.
- 4) Lead Agency and Participating State Agency personnel will negotiate in good faith toward achieving the overall goals of the State's Race to the Top-Early Learning Challenge grant, including when the State Plan requires modifications that affect the Participating State Agency, or when the Participating State Agency's Scope of Work requires modifications.

## **D. STATE RECOURSE IN THE EVENT OF PARTICIPATING STATE AGENCY'S FAILURE TO PERFORM**

If the Lead Agency determines that the Participating State Agency is not meeting its goals, timelines, budget, or annual targets, or is in some other way not fulfilling applicable requirements, the Lead Agency will take appropriate enforcement action, which could include initiating a collaborative process by which to attempt to resolve the disagreements between the Lead Agency and the Participating State Agency, or

initiating such enforcement measures as are available to the Lead Agency, under applicable State or Federal law.

### **III. MODIFICATIONS**

This Memorandum of Understanding may be amended only by written agreement signed by each of the parties involved, in consultation with ED.

### **IV. DURATION**

This Memorandum of Understanding shall be effective, beginning with the date of the last signature hereon and, if a Race to the Top- Early Learning Challenge grant is received by the State, ending upon the expiration of the Race to the Top- Early Learning Challenge grant project period.

### **V. SIGNATURES**

#### **Authorized Representative of Lead Agency:**

---

Signature	Date
-----------	------

---

Print Name	Title
------------	-------

#### **Authorized Representative of Participating State Agency:**

---

Signature	Date
-----------	------

---

Print Name	Title
------------	-------

## EXHIBIT I – PARTICIPATING STATE AGENCY SCOPE OF WORK

The Participating State Agency hereby agrees to participate in the State Plan, as described in the State’s application, and more specifically commits to undertake the tasks and activities described in detail below.

<b>Selection Criterion</b>	<b>Participating Party</b>	<b>Type of Participation</b>
<i><b>Example Row</b>— shows an example of criterion (B)(1) for the State agency that oversees state-funded preschool, IDEA, and Head Start Collab Office</i>	<ul style="list-style-type: none"> <li>• <i>State-funded preschool</i></li> <li>• <i>IDEA preschool special ed</i></li> <li>• <i>Head Start Collab Office</i></li> </ul>	<i>Representatives from each program are sitting on the state committee to define statewide QRIS program standards</i>
	<ul style="list-style-type: none"> <li>• <i>Head Start Collab Office</i></li> </ul>	<i>Responsible for cross-walking Head Start performance standards with the new Program Standards</i>
<b>(B)(1)</b>		
<b>(B)(2)</b>		
<b>(B)(3)</b>		
<b>(B)(4)</b>		
<b>(B)(5)</b>		
<b>(C)(1)</b>		
<b>(C)(2)</b>		
<b>(C)(3)</b>		
<b>(C)(4)</b>		
<b>(D)(1)</b>		
<b>(D)(2)</b>		
<b>(E)(1)</b>		
<b>(E)(2)</b>		

\_\_\_\_\_  
Signature (Authorized Representative of Lead Agency)

\_\_\_\_\_  
Date

\_\_\_\_\_  
Signature (Authorized Representative of Participating State Agency)

\_\_\_\_\_  
Date

## SECTION V: APPLICATION CHECKLIST

Please use the following checklist to ensure that your application is complete.

### Application Assurances and Certifications

- ☐ Is all of the requested information included on the Race to the Top–Early Learning Challenge Application Assurances and Certifications page?
- ☐ **SIGNATURE REQUIRED** – Has the Governor or his/her authorized representative signed and dated the Application Assurances and Certifications?
- ☐ **SIGNATURE REQUIRED** – Has an authorized representative from the Lead Agency signed the Application Assurances and Certifications?
- ☐ **SIGNATURE REQUIRED** -- Has an authorized representative from each Participating State Agency signed the Application Assurances and Certifications? (Note: all Participating State Agencies must sign the application. See definition of Participating State Agency, page 76)
- ☐ Has the State provided FY 2012 updated information in Tables 1-5 from Core Area A of its FY 2011 RTT-ELC application?
- ☐ Has the State provided updates, as needed, to Tables 6-13 from Core Area A of its FY 2011 RTT-ELC application?
- ☐ **SIGNATURE REQUIRED** -- Has the Governor or his/her authorized representative signed and dated the “Signature Block for Certifying Official” after the Phase 2 Assurances (page 15)?

### Application Requirements

- ☐ Has the State provided an updated MOU with each Participating State Agency?
- ☐ Does each MOU include the necessary assurances?
- ☐ **SIGNATURE REQUIRED** – Has every Participating State Agency signed an MOU that includes a preliminary Scope of Work, using Exhibit I or an equivalent model?
- ☐ **SIGNATURE REQUIRED** – Has the Lead Agency counter-signed every MOU and preliminary Scope of Work?
- ☐ Has the State certified that it has an operational State advisory council that meets the necessary requirements?
- ☐ Has the State certified that it is participating in the home visiting program?
- ☐ Has the State described how it will manage the Phase 2 RTT-ELC grant consistent with its response to selection criterion A(3)(a)(1) of its FY 2011 RTT-ELC application?
- ☐ Has the State described how it would implement the activities described in response to Core Area B (selection criteria one through five) of its FY 2011 RTT-ELC application using a Phase 2 RTT-ELC award?
- ☐ Has the State described how it would implement the activities described in Competitive Preference Priority 2 consistent with its FY 2011 RTT-ELC application?
- ☐ Has the State selected at least two Focused Investment Areas and explained how it will address one or more selection criteria in those Focused Investment Areas?
- ☐ Has the State described how its proposed activities will be adjusted or modified in light of the 50% funding level?

**Budget**

- ☐ Has the State completed the following elements of the Budget?
  - ☐ Budget Part I: Summary Tables and Narratives
  - ☐ Budget Part II: Participating State Agency Budget Tables and Narratives, for each Participating State Agency
  - ☐ Indirect Costs form
- ☐ Has the State created its budget spreadsheets?
- ☐ In its budget narrative, has the State explained how the budget has been adjusted or modified in light of the 50% funding level?

**Consortia and/or Partnerships**

- ☐ Has the State described any partnerships it has entered into with currently-funded RTT-ELC States or eligible applicants?
- ☐ Has the State described any new strategies for leveraging State, local, or private funds since submitting its FY 2011 application?
- ☐ If the State is a member of a consortium, has the consortium submitted one application on behalf of all consortium members and described how the grant will be managed by the consortium?

**Application Submission Procedures**

- ☐ Has the State complied with the submission format requirements, including the application deadline for submission?
- ☐ Has the State submitted a single .PDF file of the entire application that was created in a format that is searchable? Note that a .PDF created from a scanned document will not be searchable.
- ☐ Has the State submitted originals of all the required Signature pages?
- ☐ Has the State submitted its budget spreadsheets?

## SECTION VI: PROGRAM REQUIREMENTS

*Note: All program requirements below are taken from the August 26, 2011 NIA (76 F.R. 53564).*

(a) The State must continue to participate in the programs authorized under section 619 of part B of IDEA and part C of IDEA; in the CCDF program; and in the MIECHV program (pursuant to section 511 of Title V of the Social Security Act, as added by section 2951 of the Affordable Care Act of 2010 (P.L. 111-148)) for the duration of the grant.

(b) The State is prohibited from spending funds from the grant on the direct delivery of health services.

(c) The State must participate in RTT-ELC grantee technical assistance activities facilitated by ED or HHS, individually or in collaboration with other State grantees in order to share effective program practices and solutions and collaboratively solve problems, and must set aside at least \$400,000 from its grant funds for this purpose.

(d) The State must--

(1) Comply with the requirements of any evaluation sponsored by ED or HHS of any of the State's activities carried out with the grant;

(2) Comply with the requirements of any cross-State evaluation--as part of a consortium of States--of any of the State's proposed reforms, if that evaluation is coordinated or funded by ED or HHS, including by using common measures and data collection instruments and collecting data necessary to the evaluation;

(3) Together with its independent evaluator, if any, cooperate with any technical assistance regarding evaluations provided by ED or HHS. The purpose of this technical assistance will be to ensure that the validation of the State's Tiered Quality Rating and Improvement System and any other evaluations conducted by States or their independent evaluators, if any, are of the highest quality and to encourage commonality in approaches where such commonality is feasible and useful;

(4) Submit to ED and HHS for review and comment its design for the validation of its Tiered Quality Rating and Improvement System (as described in selection criteria (B)(5)) and any other evaluations of activities included in the State Plan, including any activities that are part of the State's Focused Investment Areas, as applicable; and

(5) Make widely available through formal (*e.g.*, peer-reviewed journals) or informal (*e.g.*, newsletters) mechanisms, and in print or electronically, the results of any evaluations it conducts of its funded activities.

(e) The State must have a longitudinal data system that includes the 12 elements described in section 6401(e)(2)(D) of the America COMPETES Act by the date required under the State Fiscal Stabilization Fund (SFSF) grant and in accordance with Indicator (b)(1) of its approved SFSF plan.

(f) The State must comply with the requirements of all applicable Federal, State, and local privacy laws, including the requirements of the Family Educational Rights and Privacy Act,

the Health Insurance Portability Accountability Act, and the privacy requirements in IDEA, and their applicable regulations.

(g) The State must ensure that the grant activities are implemented in accordance with all applicable Federal, State, and local laws.

(h) The State must provide researchers with access, consistent with the requirements of all applicable Federal State, and local privacy laws, to data from its Tiered Quality Rating and Improvement System and from the Statewide Longitudinal Data System and the State's coordinated early learning data system (if applicable) so that they can analyze the State's quality improvement efforts and answer key policy and practice questions.

(i) Unless otherwise protected as proprietary information by Federal or State law or a specific written agreement, the State must make any work (*e.g.*, materials, tools, processes, systems) developed under its grant freely available to the public, including by posting the work on a Web site identified or sponsored by ED or HHS. Any Web sites developed under this grant must meet government or industry-recognized standards for accessibility.

(j) Funds made available under an RTT-ELC grant must be used to supplement, not supplant, any Federal, State, or local funds that, in the absence of the funds awarded under this grant, would be available for increasing access to and improving the quality of Early Learning and Development Programs.

(k) For a State that is awarded an RTT-ELC grant, the State will have up to 90 days from the grant award notification date to complete final scopes of work for each Participating State Agency. These final scopes of work must contain detailed work plans that are consistent with their corresponding preliminary scopes of work and with the State's grant application, and must include the Participating State Agency's specific goals, activities, timelines, budgets, key personnel, and annual targets for key performance measures for the portions of the State's proposed plans that the Participating State Agency is agreeing to implement.

## **Reporting Requirements**

A State receiving funds under an RTT-ELC grant must submit an annual report that must include, in addition to the standard elements, a description of the State's progress to date on its goals, timelines, and budgets, as well as actual performance compared to the annual targets the State established in its application with respect to each performance measure. Further, a State receiving funds under this program is accountable for meeting the goals, timelines, budget, and annual targets established in the application; adhering to an annual fund drawdown schedule that is tied to meeting these goals, timelines, budget, and annual targets; and fulfilling and maintaining all other conditions for the conduct of the project. The Departments will monitor a State's progress in meeting the State's goals, timelines, budget, and annual targets and in fulfilling other applicable requirements. In addition, we may collect additional data as part of a State's annual reporting requirements.



To support a collaborative process with the State, we may require that applicants who are selected to receive an award enter into a written performance or cooperative agreement. If we determine that a State is not meeting its goals, timelines, budget, or annual targets or is not fulfilling other applicable requirements, we will take appropriate action, which could include establishing a collaborative process or taking enforcement measures with respect to this grant, such as placing the State in high-risk status, putting the State on reimbursement payment status, or delaying or withholding funds.

## SECTION VII: DEFINITIONS

*Note: All definitions are taken from the August 26, 2011 NIA (76 F.R. 53564).*

Children with High Needs means children from birth through kindergarten entry who are from Low-Income families or otherwise in need of special assistance and support, including children who have disabilities or developmental delays; who are English learners; who reside on “Indian lands” as that term is defined by section 8013(6) of the ESEA; who are migrant, homeless, or in foster care; and other children as identified by the State.

Common Education Data Standards (CEDS) means voluntary, common standards for a key set of education data elements (*e.g.*, demographics, program participation, transition, course information) at the early learning, K-12, and postsecondary levels developed through a national collaborative effort being led by the National Center for Education Statistics. CEDS focus on standard definitions, code sets, and technical specifications of a subset of key data elements and are designed to increase data interoperability, portability, and comparability across Early Learning and Development Programs and agencies, States, local educational agencies, and postsecondary institutions.

Comprehensive Assessment System means a coordinated and comprehensive system of multiple assessments, each of which is valid and reliable for its specified purpose and for the population with which it will be used, that organizes information about the process and context of young children’s learning and development in order to help Early Childhood Educators make informed instructional and programmatic decisions and that conforms to the recommendations of the National Research Council reports on early childhood.

A Comprehensive Assessment System includes, at a minimum--

- (a) Screening Measures;
- (b) Formative Assessments;
- (c) Measures of Environmental Quality; and
- (d) Measures of the Quality of Adult-Child Interactions.

Data System Oversight Requirements means policies for ensuring the quality, privacy, and integrity of data contained in a data system, including--

- (a) A data governance policy that identifies the elements that are collected and maintained; provides for training on internal controls to system users; establishes who will have access to the data in the system and how the data may be used; sets appropriate internal controls to restrict access to only authorized users; sets criteria for determining the legitimacy of data requests; establishes processes that verify the accuracy, completeness, and age of the data elements maintained in the system; sets procedures for determining the sensitivity of each inventoried element and the risk of harm if those data were improperly disclosed; and establishes procedures for disclosure review and auditing; and
- (b) A transparency policy that informs the public, including families, Early Childhood Educators, and programs, of the existence of data systems that house personally identifiable information, explains what data elements are included in such a system, enables parental consent to disclose personally identifiable information as appropriate, and describes allowable and potential uses of the data.

Early Childhood Educator means any professional working in an Early Learning and Development Program, including but not limited to center-based and family child care providers; infant

and toddler specialists; early intervention specialists and early childhood special educators; home visitors; related services providers; administrators such as directors, supervisors, and other early learning and development leaders; Head Start teachers; Early Head Start teachers; preschool and other teachers; teacher assistants; family service staff; and health coordinators.

Early Learning and Development Program means any (a) State-licensed or State-regulated program or provider, regardless of setting or funding source, that provides early care and education for children from birth to kindergarten entry, including, but not limited to, any program operated by a child care center or in a family child care home; (b) preschool program funded by the Federal Government or State or local educational agencies (including any IDEA-funded program); (c) Early Head Start and Head Start program; and (d) a non-relative child care provider who is not otherwise regulated by the State and who regularly cares for two or more unrelated children for a fee in a provider setting. A State should include in this definition other programs that may deliver early learning and development services in a child's home, such as the Maternal, Infant and Early Childhood Home Visiting; Early Head Start; and part C of IDEA<sup>20</sup>.

Early Learning and Development Standards means a set of expectations, guidelines, or developmental milestones that--

(a) Describe what all children from birth to kindergarten entry should know and be able to do and their disposition toward learning;

(b) Are appropriate for each age group (*e.g.*, infants, toddlers, and preschoolers); for English learners; and for children with disabilities or developmental delays;

(c) Cover all Essential Domains of School Readiness; and

(d) Are universally designed and developmentally, culturally, and linguistically appropriate.

Early Learning Intermediary Organization means a national, statewide, regional, or community-based organization that represents one or more networks of Early Learning and Development Programs in the State and that has influence or authority over them. Such Early Learning Intermediary Organizations include, but are not limited to, Child Care Resource and Referral Agencies; State Head Start Associations; Family Child Care Associations; State affiliates of the National Association for the Education of Young Children; State affiliates of the Council for Exceptional Children's Division of Early Childhood; statewide or regional union affiliates that represent Early Childhood Educators; affiliates of the National Migrant and Seasonal Head Start Association; the National Tribal, American Indian, and Alaskan Native Head Start Association; and the National Indian Child Care Association.

Essential Data Elements means the critical child, program, and workforce data elements of a coordinated early learning data system, including--

(a) A unique statewide child identifier or another highly accurate, proven method to link data on that child, including Kindergarten Entry Assessment data, to and from the Statewide Longitudinal Data System and the coordinated early learning data system (if applicable);

(b) A unique statewide Early Childhood Educator identifier;

(c) A unique program site identifier;

---

<sup>20</sup> Note: Such home-based programs and services will most likely not participate in the State's Tiered Quality Rating and Improvement System unless the State has developed a set of Tiered Program Standards specifically for home-based programs and services.

- (d) Child and family demographic information;
- (e) Early Childhood Educator demographic information, including data on educational attainment and State credential or licenses held, as well as professional development information;
- (f) Program-level data on the program's structure, quality, child suspension and expulsion rates, staff retention, staff compensation, work environment, and all applicable data reported as part of the State's Tiered Quality Rating and Improvement System; and
- (g) Child-level program participation and attendance data.

Essential Domains of School Readiness means the domains of language and literacy development, cognition and general knowledge (including early mathematics and early scientific development), approaches toward learning, physical well-being and motor development (including adaptive skills), and social and emotional development.

Formative Assessment (also known as a classroom-based or ongoing assessment) means assessment questions, tools, and processes--

- (a) That are--
  - (1) Specifically designed to monitor children's progress in meeting the Early Learning and Development Standards;
  - (2) Valid and reliable for their intended purposes and their target populations;
  - (3) Linked directly to the curriculum; and
- (b) The results of which are used to guide and improve instructional practices.

High-Quality Plan means any plan developed by the State to address a selection criterion or priority in the notice that is feasible and has a high probability of successful implementation and at a minimum includes--

- (a) The key goals;
- (b) The key activities to be undertaken; the rationale for the activities; and, if applicable, where in the State the activities will be initially implemented, and where and how they will be scaled up over time to eventually achieve statewide implementation;
- (c) A realistic timeline, including key milestones, for implementing each key activity;
- (d) The party or parties responsible for implementing each activity and other key personnel assigned to each activity;
- (e) Appropriate financial resources to support successful implementation of the plan;
- (f) The information requested as supporting evidence, if any, together with any additional information the State believes will be helpful to peer reviewers in judging the credibility of the plan;
- (g) The information requested in the performance measures, where applicable;

(h) How the State will address the needs of the different types of Early Learning and Development Programs, if applicable; and

(i) How the State will meet the needs of Children with High Needs, as well as the unique needs of special populations of Children with High Needs.

Kindergarten Entry Assessment means an assessment that--

(a) Is administered to children during the first few months of their admission into kindergarten;

(b) Covers all Essential Domains of School Readiness;

(c) Is used in conformance with the recommendations of the National Research Council<sup>21</sup> reports on early childhood; and

(d) Is valid and reliable for its intended purposes and for the target populations and aligned to the Early Learning and Development Standards. Results of the assessment should be used to inform efforts to close the school readiness gap at kindergarten entry and to inform instruction in the early elementary school grades. This assessment should not be used to prevent children's entry into kindergarten.

Lead Agency means the State-level agency designated by the Governor for the administration of the RTT-ELC grant; this agency is the fiscal agent for the grant. The Lead Agency must be one of the Participating State Agencies.

Low-Income means having an income of up to 200 percent of the Federal poverty rate.

Measures of Environmental Quality means valid and reliable indicators of the overall quality of the early learning environment.

Measures of the Quality of Adult-Child Interactions means the measures obtained through valid and reliable processes for observing how teachers and caregivers interact with children, where such processes are designed to promote child learning and to identify strengths and areas for improvement for early learning professionals.

Participating State Agency means a State agency that administers public funds related to early learning and development and is participating in the State Plan. The following State agencies are required Participating State Agencies: the agencies that administer or supervise the administration of CCDF, the section 619 of part B of IDEA and part C of IDEA programs, State-funded preschool, home visiting, Title I of ESEA, the Head Start State Collaboration Grant, and the Title V Maternal and Child Care Block Grant, as well as the State Advisory Council on Early Childhood Education and Care, the State's Child Care Licensing Agency, and the State Education Agency. Other State agencies, such as the agencies that administer or supervise the administration of Child Welfare, Mental Health, Temporary Assistance for Needy Families (TANF), Community-Based Child Abuse Prevention, the Child and Adult Care Food Program, and the Adult Education and Family Literacy Act (AEFLA) may be Participating State Agencies if they elect to participate in the State Plan.

---

<sup>21</sup> National Research Council. (2008). Early Childhood Assessment: Why, What, and How. Committee on Developmental Outcomes and Assessments for Young Children, C.E. Snow and S.B. Van Hemel, Editors. Board on Children, Youth, and Families, Board on Testing and Assessment, Division of Behavioral and Social Sciences and Education. Washington, DC: The National Academies Press.  
[http://www.nap.edu/catalog.php?record\\_id=12446](http://www.nap.edu/catalog.php?record_id=12446)

Participating Program means an Early Learning and Development Program that elects to carry out activities described in the State Plan.

Program Standards means the standards that serve as the basis for a Tiered Quality Rating and Improvement System and define differentiated levels of quality for Early Learning and Development Programs. Program Standards are expressed, at a minimum, by the extent to which--

(a) Early Learning and Development Standards are implemented through evidence-based activities, interventions, or curricula that are appropriate for each age group of infants, toddlers, and preschoolers;

(b) Comprehensive Assessment Systems are used routinely and appropriately to improve instruction and enhance program quality by providing robust and coherent evidence of--

(1) Children's learning and development outcomes; and

(2) program performance;

(c) A qualified workforce improves young children's health, social, emotional, and educational outcomes;

(d) Strategies are successfully used to engage families in supporting their children's development and learning. These strategies may include, but are not limited to, parent access to the program, ongoing two-way communication with families, parent education in child development, outreach to fathers and other family members, training and support for families as children move to preschool and kindergarten, social networks of support, intergenerational activities, linkages with community supports and adult and family literacy programs, parent involvement in decision making, and parent leadership development;

(e) Health promotion practices include health and safety requirements; developmental, behavioral, and sensory screening, referral, and follow up; and the promotion of physical activity, healthy eating habits, oral health and behavioral health, and health literacy among parents; and

(f) Effective data practices include gathering Essential Data Elements and entering them into the State's Statewide Longitudinal Data System or other early learning data system, using these data to guide instruction and program improvement, and making this information readily available to families.

Screening Measures means age and developmentally appropriate, valid, and reliable instruments that are used to identify children who may need follow-up services to address developmental, learning, or health needs in, at a minimum, the areas of physical health, behavioral health, oral health, child development, vision, and hearing.

State means any of the 50 States, the District of Columbia, and Puerto Rico.

State Plan means the plan submitted as part of the State's RTT-ELC application.

Statewide Longitudinal Data System means the State's longitudinal education data system that collects and maintains detailed, high-quality, student- and staff-level data that are linked across entities and that over time provide a complete academic and performance history for each student. The Statewide Longitudinal Data System is typically housed within the State educational agency but includes or can be connected to early childhood, postsecondary, and labor data.

Tiered Quality Rating and Improvement System means the system through which the State uses a set of progressively higher Program Standards to evaluate the quality of an Early Learning and Development Program and to support program improvement. A Tiered Quality Rating and Improvement

System consists of four components: (a) tiered Program Standards with multiple rating categories that clearly and meaningfully differentiate program quality levels; (b) monitoring to evaluate program quality based on the Program Standards; (c) supports to help programs meet progressively higher standards (*e.g.*, through training, technical assistance, financial support); and (d) program quality ratings that are publically available; and includes a process for validating the system.

Workforce Knowledge and Competency Framework means a set of expectations that describes what Early Childhood Educators (including those working with children with disabilities and English learners) should know and be able to do. The Workforce Knowledge and Competency Framework, at a minimum, (a) is evidence-based; (b) incorporates knowledge and application of the State's Early Learning and Development Standards, the Comprehensive Assessment Systems, child development, health, and culturally and linguistically appropriate strategies for working with families; (c) includes knowledge of early mathematics and literacy development and effective instructional practices to support mathematics and literacy development in young children; (d) incorporates effective use of data to guide instruction and program improvement; (e) includes effective behavior management strategies that promote positive social emotional development and reduce challenging behaviors; and (f) incorporates feedback from experts at the State's postsecondary institutions and other early learning and development experts and Early Childhood Educators.

## SECTION VIII: SELECTION CRITERIA

*Note: All of the following selection criteria are taken from the August 26, 2011 NIA (76 F.R. 53564).*

### **Core Areas -- Sections (A) and (B)**

#### **A. Successful State Systems**

##### **(A)(1) Demonstrating past commitment to early learning and development.**

The extent to which the State has demonstrated past commitment to and investment in high-quality, accessible Early Learning and Development Programs and services for Children with High Needs, as evidenced by the State's—

(a) Financial investment, from January 2007 to the present, in Early Learning and Development Programs, including the amount of these investments in relation to the size of the State's population of Children with High Needs during this time period;

(b) Increasing, from January 2007 to the present, the number of Children with High Needs participating in Early Learning and Development Programs;

(c) Existing early learning and development legislation, policies, or practices; and

(d) Current status in key areas that form the building blocks for a high quality early learning and development system, including Early Learning and Development Standards, Comprehensive Assessment Systems, health promotion practices, family engagement strategies, the development of Early Childhood Educators, Kindergarten Entry Assessments, and effective data practices.

##### **(A)(2) Articulating the State's rationale for its early learning and development reform agenda and goals.**

The extent to which the State clearly articulates a comprehensive early learning and development reform agenda that is ambitious yet achievable, builds on the State's progress to date (as demonstrated in selection criterion (A)(1)), is most likely to result in improved school readiness for Children with High Needs, and includes--

(a) Ambitious yet achievable goals for improving program quality, improving outcomes for Children with High Needs statewide, and closing the readiness gap between Children with High Needs and their peers;

(b) An overall summary of the State Plan that clearly articulates how the High-Quality Plans proposed under each selection criterion, when taken together, constitute an effective reform agenda that establishes a clear and credible path toward achieving these goals; and

(c) A specific rationale that justifies the State's choice to address the selected criteria in each Focused Investment Area (C), (D), and (E), including why these selected criteria will best achieve these goals.



(A)(3) Aligning and coordinating early learning and development across the State.

The extent to which the State has established, or has a High-Quality Plan to establish, strong participation and commitment in the State Plan by Participating State Agencies and other early learning and development stakeholders by--

(a) Demonstrating how the Participating State Agencies and other partners, if any, will identify a governance structure for working together that will facilitate interagency coordination, streamline decision making, effectively allocate resources, and create long-term sustainability and describing--

(1) The organizational structure for managing the grant and how it builds upon existing interagency governance structures such as children's cabinets, councils, and commissions, if any already exist and are effective;

(2) The governance-related roles and responsibilities of the Lead Agency, the State Advisory Council, each Participating State Agency, the State's Interagency Coordinating Council for part C of IDEA, and other partners, if any;

(3) The method and process for making different types of decisions (*e.g.*, policy, operational) and resolving disputes; and

(4) The plan for when and how the State will involve representatives from Participating Programs, Early Childhood Educators or their representatives, parents and families, including parents and families of Children with High Needs, and other key stakeholders in the planning and implementation of the activities carried out under the grant;

(b) Demonstrating that the Participating State Agencies are strongly committed to the State Plan, to the governance structure of the grant, and to effective implementation of the State Plan, by including in the MOU or other binding agreement between the State and each Participating State Agency--

(1) Terms and conditions that reflect a strong commitment to the State Plan by each Participating State Agency, including terms and conditions designed to align and leverage the Participating State Agencies' existing funding to support the State Plan;

(2) "Scope-of-work" descriptions that require each Participating State Agency to implement all applicable portions of the State Plan and a description of efforts to maximize the number of Early Learning and Development Programs that become Participating Programs; and

(3) A signature from an authorized representative of each Participating State Agency; and

(c) Demonstrating commitment to the State Plan from a broad group of stakeholders that will assist the State in reaching the ambitious yet achievable goals outlined in response to selection criterion (A)(2)(a), including by obtaining--

(1) Detailed and persuasive letters of intent or support from Early Learning Intermediary Organizations, and, if applicable, local early learning councils; and

(2) Letters of intent or support from such other stakeholders as Early Childhood Educators or their representatives; the State's legislators; local community leaders; State or local school boards; representatives of private and faith-based early learning programs; other State and local leaders (*e.g.*, business, community, tribal, civil rights, education association leaders); adult education and family literacy State and local leaders; family and community organizations (*e.g.*, parent councils, nonprofit organizations, local foundations, tribal organizations, and community-based organizations); libraries and children's museums; health providers; and postsecondary institutions.

(A)(4) Developing a budget to implement and sustain the work of this grant.

The extent to which the State Plan--

(a) Demonstrates how the State will use existing funds that support early learning and development from Federal, State, private, and local sources (*e.g.*, CCDF; Title I and II of ESEA; IDEA; Striving Readers Comprehensive Literacy Program; State preschool; Head Start Collaboration and State Advisory Council funding; Maternal, Infant, and Early Childhood Home Visiting Program; Title V MCH Block Grant; TANF; Medicaid; child welfare services under Title IV (B) and (E) of the Social Security Act; Statewide Longitudinal Data System; foundation; other private funding sources) for activities and services that help achieve the outcomes in the State Plan, including how the quality set-asides in CCDF will be used;

(b) Describes, in both the budget tables and budget narratives, how the State will effectively and efficiently use funding from this grant to achieve the outcomes in the State Plan, in a manner that--

(1) Is adequate to support the activities described in the State Plan;

(2) Includes costs that are reasonable and necessary in relation to the objectives, design, and significance of the activities described in the State Plan and the number of children to be served; and

(3) Details the amount of funds budgeted for Participating State Agencies, localities, Early Learning Intermediary Organizations, Participating Programs, or other partners, and the specific activities to be implemented with these funds consistent with the State Plan, and demonstrates that a significant amount of funding will be devoted to the local implementation of the State Plan; and

(c) Demonstrates that it can be sustained after the grant period ends to ensure that the number and percentage of Children with High Needs served by Early Learning and Development Programs in the State will be maintained or expanded.

## B. High-Quality, Accountable Programs

### (B)(1) Developing and adopting a common, statewide Tiered Quality Rating and Improvement System.

The extent to which the State and its Participating State Agencies have developed and adopted, or have a High-Quality Plan to develop and adopt, a Tiered Quality Rating and Improvement System that--

(a) Is based on a statewide set of tiered Program Standards that include--

- (1) Early Learning and Development Standards;
- (2) A Comprehensive Assessment System;
- (3) Early Childhood Educator qualifications;
- (4) Family engagement strategies;
- (5) Health promotion practices; and
- (6) Effective data practices;

(b) Is clear and has standards that are measurable, meaningfully differentiate program quality levels, and reflect high expectations of program excellence commensurate with nationally recognized standards<sup>22</sup> that lead to improved learning outcomes for children; and

(c) Is linked to the State licensing system for Early Learning and Development Programs.

### (B)(2) Promoting participation in the State's Tiered Quality Rating and Improvement System.

The extent to which the State has maximized, or has a High-Quality Plan to maximize, program participation in the State's Tiered Quality Rating and Improvement System by--

---

<sup>22</sup> See such nationally recognized standards as:

U.S. Department of Health and Human Services. (2009). Head Start Program Performance Standards. Washington, DC: U.S. Department of Health and Human Services. PDF retrieved from: 45 CFR Chapter XIII - 1301-1311 [http://eclkc.ohs.acf.hhs.gov/hslc/Head%20Start%20Program/Program%20Design%20and%20Management/Head%20Start%20Requirements/Head%20Start%20Requirements/45%20CFR%20Chapter%20XIII/45%20CFR%20Chap%20XIII\\_ENG.pdf](http://eclkc.ohs.acf.hhs.gov/hslc/Head%20Start%20Program/Program%20Design%20and%20Management/Head%20Start%20Requirements/Head%20Start%20Requirements/45%20CFR%20Chapter%20XIII/45%20CFR%20Chap%20XIII_ENG.pdf)

U.S. Department of Defense. DoD Instruction 6060.2, Child Development Programs (CDPs), January 19, 1993, certified as current August 25, 1998 (to be updated Fall 2011). Washington, DC: U.S. Department of Defense. Retrieved from: [http://www.militaryhomefront.dod.mil/portal/page/mhf/MHF/MHF\\_DETAIL\\_1?section\\_id=20.60.500.100.0.0.0.0&current\\_id=20.60.500.100.500.60.60.0.0](http://www.militaryhomefront.dod.mil/portal/page/mhf/MHF/MHF_DETAIL_1?section_id=20.60.500.100.0.0.0.0&current_id=20.60.500.100.500.60.60.0.0)

American Academy of Pediatrics, American Public Health association, and National Resource Center for Health and Safety in Child Care and Early Education. (2011) Caring for Our Children: National Health and Safety Performance Standards; Guidelines for Early Care and education Programs. Elk Grove Village, IL; American Academy of Pediatrics.

(a) Implementing effective policies and practices to reach the goal of having all publicly funded Early Learning and Development Programs participate in such a system, including programs in each of the following categories--

- (1) State-funded preschool programs;
- (2) Early Head Start and Head Start programs;
- (3) Early Learning and Development Programs funded under section 619 of part B of IDEA and part C of IDEA;
- (4) Early Learning and Development Programs funded under Title I of the ESEA; and
- (5) Early Learning and Development Programs receiving funds from the State's CCDF program;

(b) Implementing effective policies and practices designed to help more families afford high-quality child care and maintain the supply of high-quality child care in areas with high concentrations of Children with High Needs (*e.g.*, maintaining or increasing subsidy reimbursement rates, taking actions to ensure affordable co-payments, providing incentives to high-quality providers to participate in the subsidy program); and

(c) Setting ambitious yet achievable targets for the numbers and percentages of Early Learning and Development Programs that will participate in the Tiered Quality Rating and Improvement System by type of Early Learning and Development Program (as listed in (B)(2)(a)(1) through (5) above).

**(B)(3) Rating and monitoring Early Learning and Development Programs.**

The extent to which the State and its Participating State Agencies have developed and implemented, or have a High-Quality Plan to develop and implement, a system for rating and monitoring the quality of Early Learning and Development Programs participating in the Tiered Quality Rating and Improvement System by--

(a) Using a valid and reliable tool for monitoring such programs, having trained monitors whose ratings have an acceptable level of inter-rater reliability, and monitoring and rating the Early Learning and Development Programs with appropriate frequency; and

(b) Providing quality rating and licensing information to parents with children enrolled in Early Learning and Development Programs (*e.g.*, displaying quality rating information at the program site) and making program quality rating data, information, and licensing history (including any health and safety violations) publicly available in formats that are easy to understand and use for decision making by families selecting Early Learning and Development Programs and families whose children are enrolled in such programs.

(B)(4) Promoting access to high-quality Early Learning and Development Programs for Children with High Needs.

The extent to which the State and its Participating State Agencies have developed and implemented, or have a High-Quality Plan to develop and implement, a system for improving the quality of the Early Learning and Development Programs participating in the Tiered Quality Rating and Improvement System by--

(a) Developing and implementing policies and practices that provide support and incentives for Early Learning and Development Programs to continuously improve (*e.g.*, through training, technical assistance, financial rewards or incentives, higher subsidy reimbursement rates, compensation);

(b) Providing supports to help working families who have Children with High Needs access high-quality Early Learning and Development Programs that meet those needs (*e.g.*, providing full-day, full-year programs; transportation; meals; family support services); and

(c) Setting ambitious yet achievable targets for increasing--

(1) The number of Early Learning and Development Programs in the top tiers of the Tiered Quality Rating and Improvement System; and

(2) The number and percentage of Children with High Needs who are enrolled in Early Learning and Development Programs that are in the top tiers of the Tiered Quality Rating and Improvement System.

(B)(5) Validating the effectiveness of the State Tiered Quality Rating and Improvement System.

The extent to which the State has a High-Quality Plan to design and implement evaluations--working with an independent evaluator and, when warranted, as part of a cross-State evaluation consortium--of the relationship between the ratings generated by the State's Tiered Quality Rating and Improvement System and the learning outcomes of children served by the State's Early Learning and Development Programs by--

(a) Validating, using research-based measures, as described in the State Plan (which also describes the criteria that the State used or will use to determine those measures), whether the tiers in the State's Tiered Quality Rating and Improvement System accurately reflect differential levels of program quality; and

(b) Assessing, using appropriate research designs and measures of progress (as identified in the State Plan), the extent to which changes in quality ratings are related to progress in children's learning, development, and school readiness.

## **Focused Investment Areas -- Sections (C), (D), and (E)**

### **C. Promoting Early Learning and Development Outcomes for Children**

#### **(C)(1) Developing and using statewide, high-quality Early Learning and Development Standards.**

The extent to which the State has a High-Quality Plan to put in place high-quality Early Learning and Development Standards that are used statewide by Early Learning and Development Programs and that--

(a) Includes evidence that the Early Learning and Development Standards are developmentally, culturally, and linguistically appropriate across each age group of infants, toddlers, and preschoolers, and that they cover all Essential Domains of School Readiness;

(b) Includes evidence that the Early Learning and Development Standards are aligned with the State's K-3 academic standards in, at a minimum, early literacy and mathematics;

(c) Includes evidence that the Early Learning and Development Standards are incorporated in Program Standards, curricula and activities, Comprehensive Assessment Systems, the State's Workforce Knowledge and Competency Framework, and professional development activities; and

(d) The State has supports in place to promote understanding of and commitment to the Early Learning and Development Standards across Early Learning and Development Programs.

#### **(C)(2) Supporting effective uses of Comprehensive Assessment Systems.**

The extent to which the State has a High-Quality Plan to support the effective implementation of developmentally appropriate Comprehensive Assessment Systems by--

(a) Working with Early Learning and Development Programs to select assessment instruments and approaches that are appropriate for the target populations and purposes;

(b) Working with Early Learning and Development Programs to strengthen Early Childhood Educators' understanding of the purposes and uses of each type of assessment included in the Comprehensive Assessment Systems;

(c) Articulating an approach for aligning and integrating assessments and sharing assessment results, as appropriate, in order to avoid duplication of assessments and to coordinate services for Children with High Needs who are served by multiple Early Learning and Development Programs; and

(d) Training Early Childhood Educators to appropriately administer assessments and interpret and use assessment data in order to inform and improve instruction, programs, and services.

(C)(3) Identifying and addressing the health, behavioral, and developmental needs of Children with High Needs to improve school readiness.

The extent to which the State has a High-Quality Plan to identify and address the health, behavioral, and developmental needs of Children with High Needs by--

(a) Establishing a progression of standards for ensuring children's health and safety; ensuring that health and behavioral screening and follow-up occur; and promoting children's physical, social, and emotional development across the levels of its Program Standards;

(b) Increasing the number of Early Childhood Educators who are trained and supported on an on-going basis in meeting the health standards;

(c) Promoting healthy eating habits, improving nutrition, expanding physical activity; and

(d) Leveraging existing resources to meet ambitious yet achievable annual targets to increase the number of Children with High Needs who--

(1) Are screened using Screening Measures that align with the Medicaid Early Periodic Screening, Diagnostic and Treatment benefit (see section 1905(r)(5) of the Social Security Act) or the well-baby and well-child services available through the Children's Health Insurance Program (42 CFR 457.520), and that, as appropriate, are consistent with the Child Find provisions in IDEA (see sections 612(a)(3) and 635(a)(5) of IDEA);

(2) Are referred for services based on the results of those screenings, and where appropriate, received follow-up; and

(3) Participate in ongoing health care as part of a schedule of well-child care, including the number of children who are up to date in a schedule of well-child care.

(C)(4) Engaging and supporting families.

The extent to which the State has a High-Quality Plan to provide culturally and linguistically appropriate information and support to families of Children with High Needs in order to promote school readiness for their children by--

(a) Establishing a progression of culturally and linguistically appropriate standards for family engagement across the levels of its Program Standards, including activities that enhance the capacity of families to support their children's education and development;

(b) Increasing the number and percentage of Early Childhood Educators trained and supported on an on-going basis to implement the family engagement strategies included in the Program Standards; and

(c) Promoting family support and engagement statewide, including by leveraging other existing resources such as through home visiting programs, other family-serving agencies, and through outreach to family, friend, and neighbor caregivers.

## **D. A Great Early Childhood Education Workforce**

### **(D)(1) Developing a Workforce Knowledge and Competency Framework and a progression of credentials.**

The extent to which the State has a High-Quality Plan to--

(a) Develop a common, statewide Workforce Knowledge and Competency Framework designed to promote children's learning and development and improve child outcomes;

(b) Develop a common, statewide progression of credentials and degrees aligned with the Workforce Knowledge and Competency Framework; and

(c) Engage postsecondary institutions and other professional development providers in aligning professional development opportunities with the State's Workforce Knowledge and Competency Framework.

### **(D)(2) Supporting Early Childhood Educators in improving their knowledge, skills, and abilities.**

The extent to which the State has a High-Quality Plan to improve the effectiveness and retention of Early Childhood Educators who work with Children with High Needs, with the goal of improving child outcomes by--

(a) Providing and expanding access to effective professional development opportunities that are aligned with the State's Workforce Knowledge and Competency Framework;

(b) Implementing policies and incentives (*e.g.*, scholarships, compensation and wage supplements, tiered reimbursement rates, other financial incentives, management opportunities) that promote professional improvement and career advancement along an articulated career pathway that is aligned with the Workforce Knowledge and Competency Framework, and that are designed to increase retention;

(c) Publicly reporting aggregated data on Early Childhood Educator development, advancement, and retention; and

(d) Setting ambitious yet achievable targets for--

(1) Increasing the number of postsecondary institutions and professional development providers with programs that are aligned to the Workforce Knowledge and Competency Framework and the number of Early Childhood Educators who receive credentials from postsecondary institutions and professional development providers that are aligned to the Workforce Knowledge and Competency Framework; and

(2) Increasing the number and percentage of Early Childhood Educators who are progressing to higher levels of credentials that align with the Workforce Knowledge and Competency Framework.



## **E. Measuring Outcomes and Progress**

### **(E)(1) Understanding the status of children's learning and development at kindergarten entry.**

The extent to which the State has a High-Quality Plan to implement, independently or as part of a cross-State consortium, a common, statewide Kindergarten Entry Assessment that informs instruction and services in the early elementary grades and that--

(a) Is aligned with the State's Early Learning and Development Standards and covers all Essential Domains of School Readiness;

(b) Is valid, reliable, and appropriate for the target population and for the purpose for which it will be used, including for English learners and children with disabilities;

(c) Is administered beginning no later than the start of school year 2014-2015 to children entering a public school kindergarten; States may propose a phased implementation plan that forms the basis for broader statewide implementation;

(d) Is reported to the Statewide Longitudinal Data System, and to the early learning data system, if it is separate from the Statewide Longitudinal Data System, as permitted under and consistent with the requirements of Federal, State, and local privacy laws; and

(e) Is funded, in significant part, with Federal or State resources other than those available under this grant, (*e.g.*, with funds available under section 6111 or 6112 of the ESEA).

### **(E)(2) Building or enhancing an early learning data system to improve instruction, practices, services, and policies.**

The extent to which the State has a High-Quality Plan to enhance the State's existing Statewide Longitudinal Data System or to build or enhance a separate, coordinated, early learning data system that aligns and is interoperable with the Statewide Longitudinal Data System, and that either data system--

(a) Has all of the Essential Data Elements;

(b) Enables uniform data collection and easy entry of the Essential Data Elements by Participating State Agencies and Participating Programs;

(c) Facilitates the exchange of data among Participating State Agencies by using standard data structures, data formats, and data definitions such as Common Education Data Standards to ensure interoperability among the various levels and types of data;

(d) Generates information that is timely, relevant, accessible, and easy for Early Learning and Development Programs and Early Childhood Educators to use for continuous improvement and decision making; and

(e) Meets the Data System Oversight Requirements and complies with the requirements of Federal, State, and local privacy laws.

## SECTION IX: COMPETITION PRIORITIES

*Note: All priorities are taken from the August 26, 2011 NIA (76 F.R. 53564).*

*Note about the Absolute Priority:* *The absolute priority describes items that a State must address in its application in order to receive a grant. Applicants do not write a separate response to this priority. Rather, they address this priority throughout their responses to the selection criteria. Applications must meet the absolute priority to be considered for funding. A State meets the absolute priority if a majority of reviewers determines that the State has met the absolute priority*

### Priority 1: Absolute Priority – Promoting School Readiness for Children with High Needs.

To meet this priority, the State’s application must comprehensively and coherently address how the State will build a system that increases the quality of Early Learning and Development Programs for Children with High Needs so that they enter kindergarten ready to succeed.

The State’s application must demonstrate how it will improve the quality of Early Learning and Development Programs by integrating and aligning resources and policies across Participating State Agencies and by designing and implementing a common, statewide Tiered Quality Rating and Improvement System. In addition, to achieve the necessary reforms, the State must make strategic improvements in those specific reform areas that will most significantly improve program quality and outcomes for Children with High Needs. Therefore, the State must address those criteria from within each of the Focused Investment Areas (sections (C) Promoting Early Learning and Development Outcomes for Children, (D) A Great Early Childhood Education Workforce, and (E) Measuring Outcomes and Progress) that it believes will best prepare its Children with High Needs for kindergarten success.

*Note about Competitive Preference Priorities:* *Competitive preference priorities can earn the applicant extra or “competitive preference” points.*

### Priority 2: Competitive Preference Priority – Including all Early Learning and Development Programs in the Tiered Quality Rating and Improvement System. (10 points)

Competitive Preference Priority 2 is designed to increase the number of children from birth to kindergarten entry who are participating in programs that are governed by the State’s licensing system and quality standards, with the goal that all licensed or State-regulated programs will participate. The State will receive points for this priority based on the extent to which the State has in place, or has a High-Quality Plan to implement no later than June 30, 2015--

(a) A licensing and inspection system that covers all programs that are not otherwise regulated by the State and that regularly care for two or more unrelated children for a fee in a provider setting; provided that if the State exempts programs for reasons other than the number of children cared for, the State may exclude those entities and reviewers will score this priority only on the basis of non-excluded entities; and

(b) A Tiered Quality Rating and Improvement System in which all licensed or State-regulated Early Learning and Development Programs participate.

Priority 3: Competitive Preference Priority – Understanding the Status of Children’s Learning and Development at Kindergarten Entry. (10 points)

To meet this priority, the State must, in its application--

(a) Demonstrate that it has already implemented a Kindergarten Entry Assessment that meets selection criterion (E)(1) by indicating that all elements in Table (A)(1)-12 are met; or

(b) Address selection criterion (E)(1) and earn a score of at least 70 percent of the maximum points available for that criterion.

*Note about Invitational Priorities: Invitational priorities signal areas the Departments are particularly interested in; however addressing these priorities will not earn applicants any additional points.*

Priority 4: Invitational Priority – Sustaining Program Effects in the Early Elementary Grades.

The Departments are particularly interested in applications that describe the State’s High-Quality Plan to sustain and build upon improved early learning outcomes throughout the early elementary school years, including by--

(a) Enhancing the State’s current standards for kindergarten through grade 3 to align them with the Early Learning and Development Standards across all Essential Domains of School Readiness;

(b) Ensuring that transition planning occurs for children moving from Early Learning and Development Programs to elementary schools;

(c) Promoting health and family engagement, including in the early grades;

(d) Increasing the percentage of children who are able to read and do mathematics at grade level by the end of the third grade; and

(e) Leveraging existing Federal, State, and local resources, including but not limited to funds received under Title I and Title II of ESEA, as amended, and IDEA.

Priority 5: Invitational Priority – Encouraging Private-Sector Support

The Departments are particularly interested in applications that describe how the private sector will provide financial and other resources to support the State and its Participating State Agencies or Participating Programs in the implementation of the State Plan.